Climate Investment Funds

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Meeting of the FIP Sub-Committee
Washington D.C.
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Agenda Item 6

APPROACHES TO MEASURING AND REPORTING RESULTS IN ENDORSED FIP INVESTMENT PLANS

PROPOSED DECISION

The FIP Sub-Committee, having reviewed document FIP/SC.10/5, *Approaches to Measuring and Reporting Results in endorsed FIP Investment Plans*, and taking into account the findings from the report, requests the CIF Administrative Unit, in collaboration with the MDBs and the pilot country governments to:

a) simplify the current FIP results-framework to include a set of agreed project-level core indicators mapped against the elements of REDD+ (i.e. deforestation, forest degradation, sustainable forest management and enhancement of forest carbon stocks);

b) develop core indicator guidance sheets and performance monitoring tables and scorecards to provide guidance for implementation; and

c) propose a timeline for the preparation of pilot country work plans for monitoring and reporting against the agreed core indicators.

The CIF Administrative Unit is invited to report to the next meeting of the Sub-Committee on progress achieved.

Furthermore, the Sub-Committee requests the CIF Administrative Unit, in collaboration with the MDBs, to provide support to the FIP pilot countries in their efforts to measure and report on FIP results by creating opportunities to share emerging lessons and discuss challenges, and by making available necessary methodological and knowledge management tools.

EXECUTIVE SUMMARY

1. Currently, there is no comprehensive and consistent approach to results monitoring and reporting across the seven FIP pilot countries that have endorsed investment plans. Some of the variation reflects the diversity in context, approach and priority-setting that each country has taken. All countries view the FIP investments as a contribution to larger programs aimed at reducing emissions from deforestation and forest degradation, or programs aimed at improved forest and agriculture management. As such, each country focuses its efforts on a piece of the larger REDD+ challenge[1] that they face, and each country approaches the REDD+ challenge in its own strategic way, based on national context and other on-going efforts.

2. Even while most countries note in their investment plans their intention to use the structure of the current FIP results framework, the diversity of investment objectives on the one hand broadens the framework for monitoring and reporting and on the other hand limits possibilities for common measurements and methods across the eight FIP pilots.

3. Although there are differences between the countries in how they approach the use of FIP resources in the context of REDD+, there are also some important commonalities. All countries focus interventions on key drivers of land cover change – deforestation and degradation – and all countries take some action along the *REDD+ continuum*.

4. The diversity of approaches offers a unique opportunity for knowledge management and building a base of experience across a range of conditions and situations. FIP should create a framework that builds on these differences to inform the development and implementation process of the investments. However, this will require the development of a reporting framework that embraces the diversity but also provides some opportunity for inter-comparability between projects – both within the country IPs and across the country IPs along the REDD+ continuum.

5. However, there is potential to add some structure to this diversity and thereby bring some commonality to indicators, by reviewing where each investment plan addresses the various components of REDD+. A way to bring some cohesion and commonality to the monitoring and results framework across all countries would be by building on the specific project and program contributions to a REDD+ /AFoLU measurement schema.

6. There are seven general areas for monitoring and reporting that seem to be most suitable for assessing project-level outcomes in a coherent and consistent way across the eight pilots.

REDD+ Area Change and GHG Emissions/Removals

7. The first is the measurement and reporting of REDD+ areas of forest cover changes, due to deforestation/degradation or enhancements through forest plantations or reforestation. It is associated with concomitant measures of GHG emissions or removals. This metric is quantitative and could be considered a core indicator.

[1] REDD+ - Reduced emissions from deforestation and forest degradation; sustainable forest management and enhancement of forest carbon stocks

Forest Management

8. The second area of measurement is focused on assessing progress in forest management. Most investment plans include some aspect of forest management, either through national policies and programs or at the community level using sustainable forest management and community based forest management strategies. Access to information and transparency is a related attribute that appears in most plans. Forest management is an element of REDD+ as it is important to reducing carbon stock losses as well as enhancing carbon stocks. It is also the avenue through which livelihoods and local stewardship and land tenure opportunities arise.

Forest Governance

9. Forest governance is a central piece of REDD+ and applies across scales from national to community levels. While not all FIP pilot countries address it in their investment plans, it is often noted that governance and property rights are of critical importance to achieve transformational outcomes.

Land Tenure and Property Rights

10. While this topic and measure could be nested under "governance", it is often separated to highlight its importance in REDD+. Land tenure and property rights are important salient measures, especially in the context of access to land by women and indigenous peoples.

Livelihoods, Poverty and Incomes

11. Contribution of FIP to livelihoods, poverty reduction and increased incomes serves as a co-benefit indicator or measure since it is identified in the objective of the FIP. Most countries will focus on creating these co-benefits through their FIP investments.

Biodiversity and other Environmental Benefits

12. Some countries list biodiversity conservation as an important co-outcome, while others suggest other natural resources such as the protection of water resources.

Technical and Human Capacity

13. Technical and human capacities are a critical area of concern to further advance the REDD+ agenda. One area of technical capacity building focuses on the development of basic data, measurements and information systems. Given the importance of technical and human capacity, it is suggested that a qualitative core indicator accompanied by a scorecard should be developed.

14. Taking into account the findings from the report *Overview of Current Approaches to Measuring and Reporting Results in endorsed FIP Investment Plans* and to further advance the FIP results agenda, it is proposed that the CIF Administrative Unit, in collaboration with the

MDBs and the pilot country governments, should, at the next meeting of the FIP Sub-Committee:

a) simplify the current FIP results-framework to include a set of agreed project-level core indicators mapped against the elements of REDD+;

b) develop core indicator guidance sheets and performance monitoring tables and scorecards to provide guidance for implementation; and

c) propose a timeline for the preparation of pilot country work plans for monitoring and reporting against the agreed core indicators.

15. In addition, it is proposed that the CIF Administrative Unit, in collaboration with the MDBs provides support to the FIP pilot countries in their efforts to measure and report on FIP results by creating opportunities to share emerging lessons and discuss challenges, and by making available necessary methodological and knowledge management tools.

I. INTRODUCTION

1. During its meeting in November 2012, the FIP Sub-Committee reviewed document FIP/SC.9/7, *Revised FIP Results Framework*, and agreed to continue working with the FIP Results Framework, approved on June 7, 2011. The Sub-Committee further agreed that the CIF Administrative Unit, in collaboration with the MDB Committee, will prepare and circulate to the Sub-Committee an overview of the current approaches to measure results in endorsed investment plans by March 2013.

2. Responding, the CIF Administrative Unit, in collaboration with the MDBs and the pilot country focal points have extracted and reviewed information on results monitoring and reporting from seven endorsed investment plans. To ensure that the Sub-Committee has access to a thorough and technically-sound assessment of the current approaches to measuring and reporting FIP results as described in the endorsed investment plans, the CIF Administrative Unit consulted Professor David L. Skole, Department of Forestry, Global Observatory for Ecosystem Services, Michigan State University; who prepared the synthesis report.

3. This report provides a synthesis of this extracted information to provide an overview of how the FIP pilot countries are developing their responses to the need for measuring results and report on progress consistent with the current FIP results framework[2].

4. The endorsed FIP investment plans for Brazil, Burkina Faso, Democratic Republic of Congo (DRC), Ghana, Indonesia, Lao PDR and Mexico were assessed in the context of six fundamental aspects for results monitoring and reporting, as follows:

    a) What is the theory of change for using FIP resources?

    b) Which are transformational outcomes at investment plan level, and how are they captured?

    c) What are the key planned quantitative results (numbers) and indicators to capture them?

    d) What are the key planned qualitative results and indicators to capture them?

    e) Which are the proposed methods for data collection, measuring and calculation?

    f) Are there baselines available for the indicators measurement the investment plan results?

5. Two additional questions considered were:

    a) How will the monitoring and reporting work be funded?

    b) What entity will be responsible for reporting?

[2] https://www.climateinvestmentfunds.org/cif/content/fip-results-framework

II. GENERAL FINDINGS

6. This synthesis suggests that there is no comprehensive and consistent approach to results monitoring and reporting across the seven FIP pilot countries that have endorsed investment plans. Some of the variation reflects the diversity in context, approach and priority-setting that each country has taken. All countries view the FIP investments as a contribution to larger programs aimed at reducing emissions from deforestation and forest degradation, or programs aimed at improved forest and agriculture management. As such, each country focuses its efforts on a piece of the larger REDD+ challenge[3] that they face, and each country approaches the REDD+ challenge in its own strategic way, based on national context and other on-going efforts.

7. Table 1 delineates the elements of REDD+ that each country has prioritized in its investment plan. The pilot countries vary with respect how they strategically position interventions and activities. Some countries focus on direct drivers of changes in the forest areas, while other countries focus on proximate drivers that may reside outside the forest but be important factors that drive deforestation and degradation. The FIP challenge is to take this diversity of approaches into a framework that can provide meaningful information and insights through its annual monitoring and reporting process.

Table 1: FIP Investment Plans - Areas of Investments and Elements of REDD+

Country	Thematic Scope of Investments	Elements of REDD+ Addressed
Brazil	• Sustainable, low carbon agriculture • forest information systems • forest conservation • forest fire prevention	Deforestation
Burkina Faso	• sustainable forest management • fire management • community forestry • non-timber forest products	Sustainable forest management; deforestation; degradation
DRC	• community forest management sustainable cook stoves • fuelwood management • afforestation and reforestation	Sustainable forest management; degradation; enhancement of forest carbon stocks
Ghana	• forest communities • sustainable forest management agroforestry (sustainable cocoa)	Deforestation; degradation; sustainable forest management
Indonesia	• forest governance • land tenure and indigenous rights law enforcement • sustainable forest management	Deforestation; degradation; sustainable forest management
Lao PDR	• sustainable forest management	Deforestation; degradation;

[3] REDD+ - Reduced emissions from deforestation and forest degradation; sustainable forest management and enhancement of forest carbon stocks

Country	Thematic Scope of Investments	Elements of REDD+ Addressed
	• community forestry • land tenure and rights of ethnic minorities • reforestation	sustainable forest management and enhancement of forest carbon stocks
Mexico	• community forestry • sustainable agriculture • rural development • sustainable forest management silvo-pastoral systems	Deforestation; Sustainable forest management; enhancement of forest carbon stocks

8. The approach to results monitoring and reporting, both existing and planned, varies considerably from country to country. When compared to the current FIP results framework, none of the investment plans describe a tangible quantitative or qualitative method or approach to gathering data and reporting against specific numbers, metrics or indicators at the level of their proposed investments. All countries have challenges defining a specific design for a results reporting framework, although many provide a list of indicators they plan to use. For instance no information is provided on a method and associated data source for computing baselines of forest area change, greenhouse gases and other indicators.

9. All countries acknowledge the need for better basic information and data on

a) forest and land conditions;

b) LULUCF[4] and greenhouse gas data trends; and

c) drivers of deforestation and degradation.

10. Some investment plans provide general background information on preliminary or first-order biomass maps or land use maps, as a basis for establishing context and making preliminary estimates of greenhouse gas emissions, or for planning projects and establishing priority geographic areas. However, this lack of detailed data and information will make reporting challenging. One country, Brazil, actually notes that improved vegetation maps, agricultural cadastral maps, and forest information systems will be a key outcome itself. In some countries, the challenge is not a lack of data, but the diverse and inconsistent data sets and information available. In those cases what is needed is a broad based, multi-stakeholder, and multi-sector agreement on an official dataset to be used for baseline measurements.

11. Inherently all countries realize this need, yet they do not highlight the need for information management and strengthening basic data gathering efforts as critical parts of their FIP investment activities. The challenge for the FIP will be to create a *framework* for providing or improving fundamental databases so that some basic measures of progress can be reported against the FIP goals, objectives, and priorities. One promising domain for basic measurement

[4] LULUCF - Land use, land-use change and forestry is defined by the United Nations Climate Change Secretariat as "A greenhouse gas inventory sector that covers emissions and removals of greenhouse gases resulting from direct human-induced land use, land-use change and forestry activities."

and data gathering could be in mapping or reporting on *land cover areas* and *area change*, associated with some acceptable default parameters for biomass or carbon stocks for those land covers. This could provide a simple "open door" to measurements across all countries.

12. All countries have proposed specific projects or programs, to be developed in specific geographic areas of the country. It is common for a country to report that they will use national level data sources that are disaggregated to the sub-national or project level, even though there is no information on a measurement approach for baselines and changes to baselines based on specific national level data. At the scale of the project the countries still need to formulate a strategy that allows for project-level collection of data and information for annual reporting, It is assumed that the countries plan to develop their project-level measurements as they develop the projects for FIP funding and ultimately MDB approval.

13. Several countries remark that they will rely on yet to be developed national REDD+ MRV systems which are not expected to be operational in the near term. There is a need for a *project level framework* for data and measurements. Project-level measures and reporting may be easier to implement than trying to downscale or disaggregate nation estimates, and could provide information for reporting in the near term. Even for those countries that plan to implement local or regional projects spread across several provinces, ecosystems, or forest areas, it seems possible to develop an acceptable sampling scheme or established monitoring areas that would be reasonably indicative of status and/or progress. Target area monitoring might be as useful as comprehensive monitoring at all locations.

14. There appears to be no technical barriers to reporting of GHG emissions at the project level, but it will require a dedicated effort to establish the baselines and acquire the data. A facile approach could be developed that uses three levels of data gathering as a basis, and includes performance metrics and practiced based metrics[5] with both quantitative measures (keyed to an inventory of changes in areas of forest or other land uses, and possibly default carbon values) and qualitative measures that use a score-card approach.

15. Most countries need additional technical and human resource capacity to implement a reporting framework; some have indicated this in their investment plans and others have included it implicitly through planned technical assistance (TA) activities. However it is not considered a major activity.

III. MAPPING FIP INVESTMENTS ALONG THE REDD+ CONTINUUM

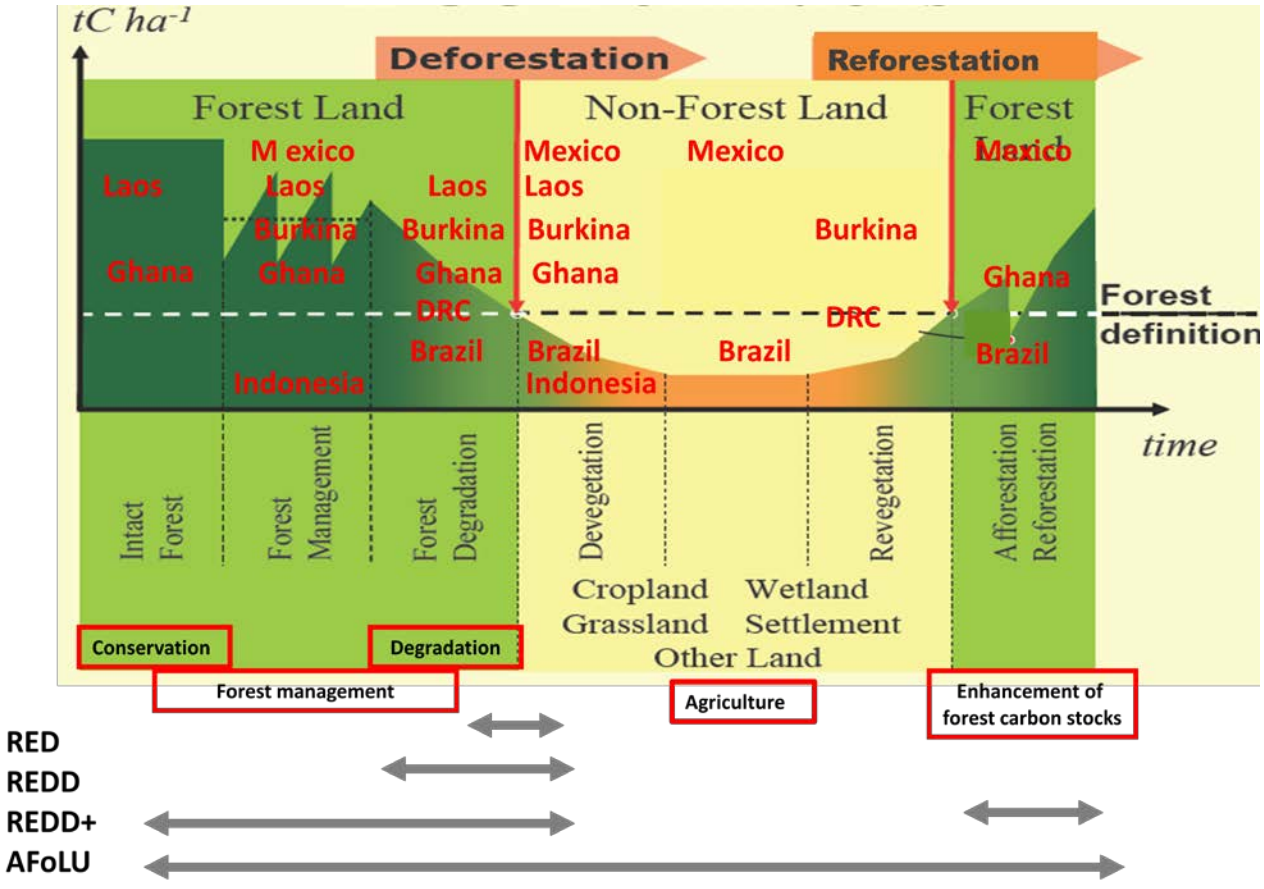
16. Although there are differences between countries in how they approach the use of FIP resources in the context of REDD+, there are also some important commonalities. All countries focus interventions on key drivers of land cover change – deforestation and degradation – and all countries take some action along the *REDD+ continuum*. What is interesting and potentially very

[5] Performance-based metrics refer to quantitative measurements related directly to changes in forest cover and carbon, while practice-based measurements refer to quantitative measurements of areas associated with enhanced management practices but do not result in change in forest or other land use area, such as sustainable forest management or sustainable agriculture.

compelling about the country diversity is that they all address different elements of an overall REDD+ program, and define specific interventions or actions based on a theory of change that is relevant to the country's context. For the most part all countries highlight that agriculture in one form or another is a driver of forest cover loss or degradation, and, at the same time, could be an important sector to introduce reforestation or enhancements of carbon stocks.

17. Figure 1 diagrammatically represents the *REDD+ continuum*. In this concept, the core piece of the REDD+ formulation focuses on reducing emissions from *deforestation* (RED). Further elaboration of this conceptual framework considers that *degradation* of intact forests can be an important emission source of carbon as well (REDD). This framework is enhanced with the important idea that improved forest management in standing forests, and the enhancement of carbon stocks through re-stocking or reforestation, are integral to the conceptual framework (REDD+). In essence, some have argued that REDD+ allows for the inclusion of afforestation and reforestation rather than treat these concept separately and thereby make a more robust framework for all of the LULUCF elements.

Figure 1: *REDD+ continuum*



18. Yet it is clear that actions outside the forest can play important roles for mitigation of adverse actions within the forests, as would sustainable land management (SLM) be closely tied to REDD+. A clear example of this logic is seen in several countries' investment plans. For

instance, in Burkina Faso the investment plan focuses attention on agro-forestry in the so-called parklands landscapes as a means to enhance carbon and reduce forest pressure by actions taken in agricultural landscapes (Brazil and DRC also feature agriculture in their investment plans). This adds the notion of a full continuum of forestry and agriculture to the conceptual framework and indeed some experts have advocated that the concept of AFoLU – agriculture, forestry and other land uses – may be more comprehensive than REDD+ alone.

19. It will be a challenge to create a measurement framework which considers the variety of projects and programs across this REDD+ continuum. But the payoff to this approach could be large – by creating the larger context where there is a synergy across countries that is greater than the individual projects, countries may be eager to participate in, and contribute to, a program-wide measurement effort.

20. Moreover, some countries focus their interventions or actions directly in the forest sector and in forest areas themselves, while other countries place interventions or activities on drivers that could, if addressed, relieve pressure on the forest even if the driver is not linked to the forest itself. Good examples of the former include information provided in the investment plan for Lao PDR which has focused part of efforts on participatory sustainable forest management to reduce pressure on forests, and Ghana which is focusing its efforts on the drivers of agricultural expansion on and off Forest Reserves in the High Forest Zone. Brazil with its focus on the agricultural areas of the *Cerrado* woodlands and the DRC focus on fuelwood and cook stove technology in three distinct peri-urban areas are other examples.

21. In the case of Brazil, the transformation model is to improve sustainable and low carbon agriculture in degraded landscapes of the *Cerrado* and thereby relieve pressure on the regional woodland system itself and reduce agricultural migration pressure on the closed forests of the Amazon frontier. In the case of the DRC, two of the most important drivers of deforestation include demand for domestic biomass energy in urban centers and low efficiency charcoal and stove technologies. To relieve pressure on the closed forests they will focus efforts on reducing demand for fuel wood through improved cook stoves and agro-forestry carbon stock enhancements in the southern savanna zones, while increasing biomass supplies by reforestation.

22. The diversity of approaches offers a unique opportunity for knowledge management and building a base of experience across a range of conditions and situations. If the FIP can create a framework that builds on these differences to inform the investment process in the future, it could be quite promising. This will require the development of a reporting framework that embraces the diversity but also provides some measure of inter-comparability between projects – both within the country IPs and across the country IPs along the REDD+ continuum.

23. Thus, having noted that all countries focus on a core aspect of reducing emissions from deforestation and degradation – ie REDD+ – a framework that considers reporting against a fundamental or common metric of carbon emissions/removals, or perhaps forest area change alone, would be a simple and straight forward entry point for all countries, and enable the otherwise complex suite of plans to be a diverse and valuable single asset of the FIP. This common metric would be complemented by other quantitative measures, if applicable and qualitative measures which could be captured through a score card.

IV. PROPOSED INTERVENTIONS BY FIP PILOT COUNTRY

24. Table 2 provides information by FIP pilot country on the ecological or forest type FIP interventions will focus on and the current drivers of deforestation and forest degradation.

Table 2: General Characteristics of Investments by FIP Pilot Country

County	Ecological/Forest Type	Carbon/Forest Regime	Main Drivers	Secondary Drivers
Brazil	*Cerrado* biome	deforestation – conversion to agriculture; improved agricultural management; plantations	conversion (expansion) to agriculture; agricultural management practices	cattle; illegal logging
Burkina Faso	Open forest to wooded savannah	Deforestation and degradation from livestock encroachment, agricultural expansion, fuel wood and NTFP extraction, and brushfires.	Livestock activities, agricultural expansion (cotton and food); fuel wood; fire	Mining; NTFP extraction
DRC	Natural forest areas – savanna area, savanna-forest transition area, forest area	Deforestation and degradation hot-spots surrounding urban areas; agroforestry in savanna; replanting for wood energy	Fuel wood use; Conversion to agriculture	Poor management of community forests
Ghana	High Forest Zone: Wet and moist evergreen	Deforestation from agricultural expansion (esp. cocoa farming)	Agricultural expansion; Wood harvesting	Population and development pressures; mining
Indonesia	Forest and peatland areas.	Deforestation and forest degradation from unplanned conversion in estate crops (plantations) and small-scale agriculture expansion	Commercial logging, forest conversion to agriculture (agribusiness estates), illegal logging, tenure conflicts	Mining, fires

Lao PDR	Tropical evergreen, dry dipterocarp and deciduous forest	Addressing drivers of deforestation and degradation – empowering and enabling "grassroots" forest managers	Expansion of agriculture and Industrial Tree Plantations (Esp. rubber); illegal logging, fuel wood extraction, shifting cultivation	Hydropower development; mining
Mexico	Tropical wet and moist; Temperate broadleaf and evergreen.	Deforestation in areas with high pressures and high environmental value (biodiversity and watershed protection) from poor land management, lack of innovative financing and investment and a need for improved institutional and legal/ regulatory framework that supports sustainable management of forests	Conversion to agriculture and then to pasture for livestock; conversion to commercial agriculture; Illegal logging; fuel wood use	Urban expansion and development

25. **Brazil** proposed to invest in the *Cerrado*, a significant savanna woodland system that has been degraded by unsustainable agriculture over the past 20 to 30 years. New land management practices now allow for the revitalization of these lands, and permit planning for sustainable agriculture. The Brazil investment plan recognizes the large amount of investment in the *Amazon* forest zone, and the relatively low investment profile for the *Cerrado*. These woodlands are important forest areas and incredibly sensitive. The Brazilian investment plan focuses on a strategy that enhances carbon on farmland through reforestation and plantations, reduces pressure on the savanna systems, and reduces pressure on the closed forests by reversing the trend of agricultural expansion into the *Amazon* through increase production in the *Cerrado* and overlapping areas of the *Pantanal*. Activities will target large land owners and the private sector at the local scale.

26. The Brazilian Plan lists four projects within two thematic areas. The two projects under the *Management and Use of Previously Anthropized Area* theme are (1) sustainable agricultural production (based on the country's ABC plan) on lands already converted from forest and (2) environmental regularization of rural lands through cadastral survey (CAD) to ensure environmental compliance. The two projects under the *Production and Management of Forest Information* theme are (1) implementing a fire early warning system and (2) development of updated, consistent forest information system for improved public and private management and decision making.

27. **Burkina Faso** proposed to invest in woodlands and parklands, and thereby includes a significant emphasis on agricultural land as well as woodland forests and degraded forests. Similar to Brazil's focus on the *Cerrado*, the Burkina Faso's investments will be in semi-arid savanna landscapes where the drivers of deforestation are overgrazing, agricultural expansion and fuel wood collection. Burkina Faso is one of the countries that indicates an important focus on agroforestry systems with special emphasis on livelihoods and " a triple-win strategy", coupling mitigation, adaptation, and poverty alleviation objectives. Significant efforts are on land use management at the community scale.

28. Burkina Faso's investment plan identifies two main project areas:

a) Decentralized Forest and Woodland Management; and

b) Participatory Management of State Forests (PGPFD).

29. The first project includes four components and the second project includes three components. There are some activities within these project areas that target the national scale and other that focus on the community level. The national scale activities include: developing a national REDD+ strategy, developing an improved legal and regulatory framework with capacity for enforcement, establish reference emission levels and MRV development, improve forest and land governance, and strengthen state forest management practices. At the local level, the activities include: supporting forest products value chains, improve land use and forest management and planning, improve land tenure security, strengthen and support community forestry and sustainable forest and woodland management through the Village Development Committees (CVDs), and capacity building for decentralized forestry administrations.

30. **DRC** identifies important an forest conversion trend occurring on the fringe of the close forest zone around key urban areas. Peri-urban wood harvesting for urban fuelwood markets and small scale agricultural land clearing are dominant drivers. DRC's approach is to address deforestation and forest degradation indirectly by focusing on reducing pressure/demand for fuel with improved charcoal making and cook stove technologies, and enhancing supply and carbon storage through reforestation in the forest zone and agro-forestry and use of reforestation activities in the savanna zone.

31. DRC has proposed projects in three sub-national areas surrounding major urban centers (Kinshasa, Kananga-Mbuji-Mayi, and Kisingani) and two cross cutting programs: one aimed to support private sector activities in the three target areas and another aimed at innovative projects located outside the three target areas supported through a small grants program. The activities will focus on the local or community scale and include: community forestry, improved charcoal making (biomass briquettes), use improved stoves, afforestation and reforestation, and assisted natural regeneration.

32. **Ghana** plans to focus on the main drivers of deforestation in the high forest zone of the western part of the country where expansion of agriculture, mostly small scale, and fuelwood culling is increasing. The focus of the plan for Ghana includes an emphasis on interventions in both the forest reserves and outside the forest reserves. Inside the forest reserves there is an

emphasis on improved forest management through carbon-focused silvoculture. Outside the forest reserves there is an emphasis on reforestation and agro-forestry in agricultural areas.

33. The investment plan lists activities within three areas:

a) Reducing pressure on natural forest through an integrated landscape approach;

b) Engaging local communities in REDD+/ Enhancement of carbon stocks; and

c) Engaging the Private sector in REDD+.

34. Activities focused at the local level include piloting and testing participatory forest resource management models, community approaches to agroforestry and reforestation with direct financial and environmental benefits and efforts to transform ways the private sector engages agriculture and forestry activities. National level activities include clarifying tree tenure rights, policy reforms and institutional strengthening.

35. **Indonesia** is proposing to work directly in the forest environment and forestry sector with an emphasis on forest management and governance, with a series of sub-national projects nested in the national REDD+ strategy. With decentralization, forest management will be strengthened through investments at community scales with the emphasis on *Forest Management Units* (KPHs) as a unit of development and intervention. The Plan emphasizes community based forest management, land tenure and governance, and forest enterprises to reduce deforestation and degradation pressure on the forests.

36. The investment plan identifies three broad thematic areas for FIP investments:

a) Institutional Development for Sustainable Forest and Natural Resource Management;

b) Forest Enterprises and Community Based Forest Management; and

c) Community land use planning and livelihoods development. All include national programs but the activities target local communities.

37. There is a fourth area of cross-cutting analytical and technical assistance that includes more national level efforts on addressing policies related to community participation in the forestry sector, forest concession licensing processes and impacts on local communities, and support for national safeguards development.

38. The three projects that are listed for Indonesia cross-map with the thematic areas. The activities across the three project areas focus at communities and forestry enterprises. These activities include improving local government policies and institutions, creating incentives for better forest management and removing incentives that lead to deforestation at KPH level, sustainable forest management and community-based forest management efforts, local institutional development, and community capacity development and livelihood support. Other

activities aim at harmonizing national and sub-national policies on REDD+ and carbon stock improvements. Other local level actions will improve the Indonesian forest enterprise sector in mitigating carbon emissions through stronger SME business capacity and expanding community forest concessions and associated community forest management enterprises.

39. **Lao PDR** will focus its projects within the forest environment by addressing the drivers of deforestation and degradation at the community level, which are chiefly small holder agriculture, rubber and industrial plantations. A key element of their projects is scaling up participatory sustainable forest management to reduce deforestation and enhance carbon stocks with reforestation.

40. The investment plan identifies three thematic areas:

a) Protecting Forests for Sustainable Ecosystem Service Delivery;

b) Smallholder Forestry Project; and

c) Scaling-up Participatory Sustainable Forest Management.

41. The activities at the national scale will include: strengthening the legal, governance, incentives, and REDD+ framework, Identifying forest outside the designated state forest areas with High Conservation Value and developing PES to ensure their protection, developing and implementing legal, governance, incentives, and REDD+ frameworks across all forest types with a focus on law enforcement, inter-ministerial coordination, and engagement of provincial authorities on land use planning and allocation.

42. The activities targeting the community level include: piloting participatory forest management or co-management of forest areas, village and smallholder forestry, village land and forest management and smallholder forestry and village development; industrial tree plantation development, smallholder woodlot development, support for farmer land ownership through participatory land use planning, land allocation, and titling, strengthening collaboration of communities with the private sector and capacity building at the farmer level and participatory sustainable management of classified forests.

43. **Mexico** lists four thematic areas for their FIP investments:

a) capacity building for sustainable forest landscapes management;

b) mitigation resilience and sustainable profitability in forest landscapes;

c) creation of a dedicated financing line for low carbon strategies in forest landscapes; and

d) Strengthening the financial inclusion of *ejidos* and communities through technical assistance and capacity building for low carbon activities in forest landscapes.

44. All activities focus on the community level, including innovative mechanisms for public policy and programs implemented by Local Technical Agents and Local Development Agents with indigenous communities for sustainable landscape development and management; promote investments in smallholder and community forestry as well as agroforestry, afforestation/ reforestation and silvo-pastoral practices; establishing a credit line for communities and *ejidos* to support low carbon activities in forest landscapes; and provide technical assistance to enable sound *ejido* and community based enterprises in forested landscapes.

V. CURRENT FIP MEASURES IN INVESTMENT PLANS

45. Each country has its own objectives for using FIP resources, ranging from very narrow set of activities with limited reporting indicators (e.g. urban fuelwood consumption in peri-urban forests in the DRC), to broad sector transformations and sustainable land management, agricultural land rehabilitation, and low carbon agriculture. Even while most countries note in their investment plans their intention to use the structure of the current FIP results framework, the diversity of investment objectives broadens the framework of monitoring and reporting and limits possibilities for core measurements and common methods.

46. However, there is potential to add some structure to this diversity and thereby bring some commonality to indicators, by reviewing where each investment plan addresses the various components of REDD+. Some investment plans present measurements for proposed investments such as reduced emissions from deforestation only (RED) or degradation only (RE_D), while others also focused on reduced emissions from degradation (REDD) or carbon enhancements (REDD+). Still others, Brazil most notably, focus on the broader domain of both forests and agriculture (AFoLU).

47. A way to bring some cohesion and commonality to the monitoring and results framework across all countries would be by building on the specific project and program contributions to a REDD+ /AFoLU measurement schema.

48. For example, the investment plan for **DRC** is focused on outcomes related to reducing the consumption of wood fuel for domestic energy in urban and peri-urban areas and increasing the sustainability of wood fuel production systems. This approach focuses narrowly, but effectively, on an important component of degradation and some aspects of carbon enhancement in reforestation as part of a sustainable wood fuel strategy. Although the metrics reported to do not suggest that associated GHGs emissions and removals will be measured, some framework it is suggested for measuring changes in fuel wood stocks and areas, and some means to assess the reduction in impact to, and pressure on, natural forest areas. Oriented around a focused piece of degradation in a larger REDD+ context, what is missing is an explicit approach to capturing the metrics for the associated reduction in *emissions* from degradation.

49. **Brazil**, on the other end of a continuum plans to take a landscape approach to the *Cerrado*-agriculture system that has been systematically degraded over the last 20 years. The logic model in Brazil's investment plan suggests that halting degradation of the agricultural land under its Low Carbon Agriculture Program (ABC) will relieve pressure on the *Cerrado* woodland system, as well as the closed forest frontier of the *Amazon.* Thus, Brazil focuses on

transformational outcomes nested in a broader AFoLU context that includes reductions in emissions from deforestation and degradation and enhancements of carbon stocks in forests and plantations (REDD+) as well as increased carbon storage in agricultural soils and reductions in carbon emissions in agricultural lands.

50. In addition to areas and emissions/removals associated with the *Cerrado* woodlands and "trees outside of forests", the reporting model suggested in Brazil's investment plan also includes measures of no-till agriculture, nitrogen utilization and other non-REDD+ typical measures and indicators. While being comprehensive, it may risk being incomplete in terms of GHG measures as it opens up questions of accounting for non-CO2 greenhouse gases (nitrous oxide and methane) and many more land uses and types of activity data and emissions across the full complement of AFoLU classes. Yet at the same time, project-level measurements could focus its metrics for the REDD+ elements of the *Cerrado* woodlands, keeping in mind that all of the Brazilian experience in monitoring has been for closed forests not open, sparse tree savannas.

51. Other countries fall between these ends of the spectrum. For instance **Ghana**, with few natural high carbon forests remaining, is heavily focused on outcomes and measures related to improved forest and tree management as it relates to enhancement of carbon stocks, even though they will report on reductions in further forest degradation. **Indonesia** is nesting the FIP investments into their national plan under its National REDD+ Strategy and its national MRV system with a focus on forest governance and forest management practices through sustainable forest management and community-based forest management at the sub-national level. **Lao PDR** suggested a sub-national REDD+ set of activities, focusing on reducing pressure on forest resources through community-level interventions and protection. **Mexico** is focusing on jurisdictional and landscape-community based REDD+ activities. Finally, **Burkina Faso** will aim to enhance forest carbon stocks through better land management.

VI. OUTCOMES AND MEASUREMENTS RELATED TO GHG EMISSION AND REMOVALS

52. In spite of the fact that all countries do line up somewhere within the REDD+ or AFoLU scheme and all suggest that metrics related to REDD+ will be reported on, the investment plans do not provide evidence that GHG emissions avoided or sequestered can actually be reported. Most countries suggest that their FIP reporting on REDD+ results will be developed as their national systems develop or as several bi-lateral programs finish (e.g. FCPF or the bilateral activities supported by Norway). There are challenges in all countries to being able to achieve these reporting measures even though the measures are critically important and perhaps should be used as core indicators, given the scope and objectives of the FIP.

53. None of the seven country investment plans suggests national scale activities. Indeed it will be an important long term goal to see the contribution to and effectiveness of the investments at the national level (evaluative question). However, for the investment plan and its projects and programs, in the near term, this will be less important, hence it seems unnecessary to invoke a plan to utilize the national data sources at this time. For instance, the investment plan for Lao PDR mentions that it will utilize its national forest inventory, which would be appropriate for a national GHG inventory reporting, but may be too complicated for project level

reporting. It may also be problematic, in that it may not well capture local degradation or forest enhancements that would be relevant to the project but less obvious at a national scale.

54. Thus, there appears to be no technical obstacle to reporting of GHG emissions at the project or program level, but it will require a dedicated effort to establish the baselines and acquire the data.

VII. ESTABLISHMENT OF BASELINES

55. None of the seven investment plans has presented an established baseline or baseline dataset. In addition, no information has been provided on the method for collecting the baseline. For some measures, the baseline might logically be zero at the start of a project, but for GHG emissions avoided and sequestered it will certainly be more than zero at the start of the project. One or two countries rightly point out that the UNFCCC has not yet established protocols for baselines, or in the terminology of REDD+, the Reference Emissions Levels (REL). This may be true, but it seems important to begin now to specify a general method at the project level.

56. In REDD+ terms the baseline is cast in the context of a Reference Emission Level (REL). It consists of two pieces of information:

a) the measurements of past forest area and carbon stock changes, and an ex-ante estimation of deforestation or degradation rates in the absence of the project; and

b) a protocol that specifies how project assessment measures will be used to report against a REL. It is necessary to define:

   i. the procedure for defining the length of time for the historical trend (last 5 years, last 10 years, 10-year average over 15 years?);

   ii. the forward estimation of the BAU scenario; and

   iii. the inclusion of any "crediting" baseline that allows for inter-annual variation not attributed to the project intervention.

57. Several countries note in their investment plans the need to develop the REL and that some methods development is underway through funding from the FCPF and other sources (e.g. in Indonesia, Lao PDR) but there is no indication how it will be used for the FIP project level REL or when it will be ready, nor its methodological basis. This might be part of project preparation.

58. Moreover, measurement is being seen in most literature and programming experience as something that communities are capable of assisting in, if not providing directly – and at the same time creating the context for direct sharing of benefits and "ownership" of the activities.

59. Indeed, several of the proposed projects will focus efforts on community-based or participatory-based forest management or carbon management, so it seems logical that a straightforward measurement framework at the project level would actually reinforce many projects and possibly be integrated into community participation and safeguards components. *This makes measurement an asset not a cost.*

VIII. PROPOSED PROJECT-LEVEL MEASURES

60. The summaries of FIP measurements and reporting extracted from the endorsed investment plans were assessed against areas of measurement for monitoring and reporting on the results from the FIP investments. These areas could form the basis for core indicators. They are both quantitative and qualitative and seem to be necessary reporting categories regardless of the nature of the country and its investments. It was recognized that there was a diversity of investment approaches reflecting the differing country circumstances. However, there are probably seven general areas of monitoring and reporting that seem to be the most salient measurements for assessing investment outcomes that have potential to be discussed with and hopefully be adopted by countries.

REDD+ Area Change and GHG Emissions/Removals

61. The first is the measurement and reporting of REDD+ areas of forest cover changes, due to deforestation/degradation or enhancements through forest plantations or reforestation. It is associated with concomitant measures of GHG emissions or removals. This metric is quantitative and could be considered a core indicator. All countries, except Burkina Faso and DRC, report a desire to provide measures on natural forest area and the areas deforested and/or degraded. Only DRC and Brazil list reforestation area as a measure. All countries except Brazil and DRC will report GHG emissions avoided or sequestered. Most countries suggested that they will try to report both forest land cover areas and GHG emissions, but there is no information available in the reporting by country how these measures will be made – scale, data source, method or baseline.

Forest Management

62. The second area of measurement is focused on assessing progress in forest management. Most investment plans include some aspect of forest management, either through national policies and programs or at the community level using sustainable forest management and community based forest management strategies. Access to information and transparency is a related attribute that appears in most plans. Forest management is an element of REDD+ as it is important to reducing carbon stock losses as well as enhancing carbon stocks. It is also the avenue through which livelihoods and local stewardship and land tenure opportunities arise.

Forest Governance

63. Forest governance is a central piece of REDD+ and applies across scales from national to community levels. While not all FIP pilot countries address it in their investment plans, in the

investment plans for Mexico and Brazil, it is noted that governance and property rights are to be well established by law and practice. Some of the emerging frontier countries, such as Lao PDR, Indonesia and DRC emphasize its importance to their transformational outcomes.

Land Tenure and Property Rights

64. While this topic and measure could be nested under "governance", it is often separated to highlight its importance in REDD+.. Land tenure and property rights are important salient measures, especially in the context of access to land by women and indigenous peoples.

Livelihoods, Poverty and Incomes

65. Contribution of FIP to livelihoods, poverty reduction and increased incomes serves as a co-benefit indicator or measure since it is identified in the objective of the FIP. Most countries will focus on creating these co-benefits through their FIP investments. However, its conceptual framework for measurement needs to be improved at the level of the investment plans and projects and programs.

Biodiversity and other Environmental Benefits

66. Some countries list biodiversity conservation as an important co-outcome, while others suggest other natural resources such as the protection of water resources. The investment plans do not provide sufficient information on how this outcome would be measured. In terms of having a conceptual framework for assessing biodiversity impacts is probably the least well articulated co-benefit (as compared to social co-benefits and/or safeguards).

Technical and Human Capacity

67. Technical and human capacities are a critical area of concern to further advance the REDD+ agenda. It would seem to be an obvious outcome with measures, but not all countries have it listed as an activity itself in their FIP investment plan. Some of the countries specify activities to strengthen human resource capacity; while other countries build in technical assistance through bilateral donor support from collaborating programs (e.g. Lao PDR will leverage Finland contributions for TA). One area of technical capacity building focuses on the development of basic data, measurements and information systems.

IX. AVAILABILITY AND UTILITY OF BASIC DATA AND INFORMATION

68. It has been noted that all investment plans present a general approach to measurements that could be used to assess progress and status of the projects and program results. The approach generally taken is to reference the FIP results framework, but none of the investment plans provide detailed descriptions of the data sources and methods that would be used to gather data.

69. Basic data on vegetation types, spatial infrastructure, forest biomass, rates and locations of deforestation and degradation, cadastral and parcel maps, economics, and community variables are often difficult to obtain. It is recognized that gathering original data from surveys and ground measures could be time consuming and difficult. At the same time, however, the broad trends and general data that were available for the purpose of developing a sound investment plan may not suffice entirely for FIP reporting. Some basic data such as carbon stocks and rates of forest area change, including degradation, must be part of a reporting method and there should be some effort to compile such data at the project level.

70. A review of available data and/or tools for data management would be an important addition to the preparation of projects and programs. A data framework, or knowledge management system, might also be developed to help define the most basic data requirements, and perhaps a means to assist or guide the countries in their efforts to gather such data.

X. DATA ACROSS DIFFERENT ECOSYSTEMS: THE WOODLAND FOREST ENVIRONMENT

71. Several of the countries are using the FIP opportunity to develop programs in new forest environments. Brazil is placing an emphasis on the *Cerrado*, DRC is extending its work into the southern savanna, and Burkina Faso is focused on the savanna systems and the country's parklands. One of the most exciting aspects of the FIP is the inclusion of woodlands and other sparsely treed landscapes, including agricultural landscapes that host "trees outside of forests".

72. As innovative as this is, it is also important to note that these systems have sometimes not been included in the tool kit of most forest inventory systems or most forestry and carbon measurement systems.

73. As evidence by some of the approaches to forest mapping, there has been substantial progress by the research community developing ways to detect land cover change in tropical forests with remote sensing. Several countries – DRC, Ghana, Indonesia, Brazil – will use remote sensing as a basis for forest cover change mapping. Recent advances have made it possible to monitor a variety of disturbances that can be detected for closed tropical forests, and these include degradation, reforestation, plantations, fragmentation, logging and understory fires. Thus, there are now methods available to remotely detect a full range of disturbance intensities, from outright clearing to low levels of degradation, over large areas. However, these approaches have been successful only in very dense closed tropical forests, and in particular in key regions of the Amazon Basin, Central Africa, and South East Asia.

74. There has been very little advancement of detection methods for two important other forms of forest and land cover change:

a) deforestation and degradation of open woodlands such as the *Cerrado* ecosystems in South America, woodlands of Southern Africa, savannas of West Africa, and other open forest ecosystems in the tropics and sub tropics; and

b) regeneration systems on managed landscapes where biomass recovery occurs as plantations, orchards, agroforestry, and widely-spaced tree complexes associated with agriculture.

75. This may mean that some projects will need to invest in some data and methods development.

XI. QUANTITATIVE AND QUALITATIVE MEASURES

76. There is a mix of measures that could, and perhaps should, be used for FIP country reporting. The investment plans cover activities in a range of landscape types, from forests to savannas, and from forestry to agriculture. There are project interventions aimed at forest management technologies as well as other technologies related to fuel wood stoves, plantations, shifting agriculture and sustainable agriculture. One can see efforts aimed at reduced impact harvest and forest management that are aimed at biophysical aspects, as well as a long list of strategies aimed at community based forest management and participatory sustainable forest management targeting the human dimensions. This wide array of interesting approaches and strategies will require a mix of *quantitative and qualitative* measures to monitor and report.

77. To-date, most investment plans suggest reporting approaches that use quantitative measures, even for indicators that relate to social or non-quantitative initiatives, such as community participation or governance. There is every reason to consider that *some* of the measures could be developed around quantitative data, but for others using a scoring method for the qualitative measures.

78. The scoring method has been used in a number of programs related to forest management and stewardship, and it could be put in practice in FIP for a number of areas where qualitative or practice-based measures are best or complement each other.

XII. TOWARD A SIMPLE (YET RIGOROUS) MEASUREMENT AND REPORTING APPROACH

79. The FIP pilot countries represent an exciting cross section of situations, landscapes, drivers of deforestation, carbon stocks, and investment approaches. This diversity is a key asset of the FIP.

80. A simple *approach* to monitor and report on results enables a measurement structure that allows commonality and diversity at the same time. It also rests in a fundamental structure around three levels of metrics representing both *performance-based* and *practiced-based* measures as follows:

> ***Level 1: Outcome Measures,*** *which are quantitative measurements related directly to changes in forest cover and carbon (Performance-based measure).* Some examples include area of forest converted to not forest, area of reforestation, area of plantations,

carbon stock in forest converted, growing stock or rate of growth in re-growing vegetation.

Level 2: Impact Measures*, which are quantitative measurements of areas associated with various practices chiefly in forest or land covers that are managed differently but no change in land use, such as sustainable forest management (Practice-based measure).* Some examples include area of forest under sustainable forest management, area of forest under community-based forest management or participatory forest management, areas of logging, carbon degradation or stock in logging area.

Level 3: Attribute Measures*, which are qualitative measures using a score-card approach.* Examples come from the other CIF programs (e.g. PPCR), or through an established program such as the Forestry Stewardship Council International certification, Community Climate and Biodiversity Alliance, Social and Environmental Standard for REDD, etc.

Annex 1: Matching Theory of Change to Outcomes and Their Measures

How does the country define the *Theory of Change* in the investment plans and align it with outcomes and measures proposed to assess outcomes? This was evaluated because it is a fundamental step to understand key areas of proposed reporting.

The first four questions of the survey were reviewed with the aim to understand what each country views as its theory of change for their FIP investments, and how this matches to their expectation of outcomes, and in turn how these outcomes match to the measures. Any gaps or inconsistencies are identified between the theory of change and the listed transformational outcomes, and then between the listed transformational outcomes and the planned quantitative measures and indicators that are listed. Generally the FIP countries are consistent in linking outcomes and measures to their theory of change, however, all have some inconsistencies. Where inconsistencies exist, there is no clear pattern to the gaps between their theory of change and list of transformative outcomes. Likewise, there is no pattern to the gaps or inconsistencies between transformative outcomes and their quantitative measures.

Generally speaking the FIP pilot countries have succeeded at lining up their theory of change against the expected outcomes and the necessary types of measures needed to monitor progress toward transformation. However, what will be seen later in the document is that the "wish list" of measures for assessing outcomes is limited by a lack of information on of fundamental methods, a framework for measurement, baselines, and other important and necessary data.

Theory of Change

Seven basic characteristics of change were assessed to see if there were commonalities or significant divergences between the pilot countries (Table below). The green color highlights the characteristics most in common across the pilot countries, while the red color suggests limited commonalities. Most countries rest their theory of change on factors that would occur at local or landscape levels of the projects, but would scale to national level over some period of time. All but one also believe that transformation will result in the ability of institutions to implement policies more effectively and efficiently. Few countries seem to think that change is related to the degree to which FIP investments can be leveraged to obtain other financial investments.

Question 1 - Theory of Change	Mexico	Brazil	**Indo**	**Laos**	**Ghana**	**DRC**	**B. Faso**	
Landscape/local level	x		x	X	x	x	x	6
Scaling up to National level	x		x	X	x	x		5
National Policy changes	x		x		x	x	x	5
Capabilities to implement policies	x	X	x	X	x		x	6
Forest management link to livelihoods				X	x	x	x	4
Diverse financial investments beyond FIP	x		x			x		3
Improved inter-Agency coordination	x	X	x	X			x	5
	6	2	4	5	5	5	5	

Transformational Outcomes

Twelve types of outcomes were used to characterize the pilot countries in terms of the presentation of transformational outcomes. The selection of these twelve aspects was somewhat arbitrary but seemed to capture the cross section of outcome types and characteristics. The green color highlights common outcome expectations and characteristics, while red color suggests more limited commonality across the countries. All countries at least expressed outcomes consistent with measures in the current FIP Results Framework, regardless of how they suggested these would be measured. All countries seemed to think that their outcomes would be quantitative and could be evaluated in quantitative terms. Surprisingly many of the outcomes did not focus on GHG emission reductions or sequestration (only 4 countries). Clearly most countries do not see institutional and technical capacity as an expected outcome from FIP investments. In reference to some of the comments in the main part of this report, one can begin to see a diversity of expected outcomes, as they fit the specific county context.

Question 2 - Transformational Outcomes	**Mexico**	**Brazil**	**Indo**	**Laos**	**Ghana**	**DRC**	**B. Faso**	
contained in the current results framework	X	x-1	x	x	x	x-1	x	7
quantitative measures for outcomes	X	x	x	x	x	x	x	7
qualitative measure for outcomes		x			x	x	x	4
greenhouse gases emissions reduced	X		x	x			x	4
sequestered carbon increased	X		x	x			x	4
poverty improvement or related social outcomes	x		x	x	x			4
governance outcomes		x			x	x	x	4
investment and co-investment outcomes		x			x		x	3
capacity building outcomes		x	x	x	x		x	5
biodiversity or other environmental outcomes	x		x	x	x			4
agricultural outcomes		X***		x	x	x	x	5
other natural resource outcomes, cf water, soil	x			x	x			3
sustainability in forest or agri production sector		x			x	x	x	4
Other		5	6			7	8	4
	7	8	6	8	11	6	9	

Notes
X-1: uses a portion of the Results Framework
X***: main focus of the investment plan

Quantitative Measures

Eleven areas of possible measurement were reviewed, that seemed to span the breadth of quantitative measures that the countries were intending to deploy and at the same time seemed to be the most logical measures a project would want to obtain. In the discussion above it was noted that the countries seemed to all agree that some form of quantitative assessment of GHG emissions and sequestration was needed, but did not provide information whether they were ready to move forward with such measurements. Most countries express desire to measure changes in forest area, and in deforestation, but only three would consider reforestation. It is clear that few countries feel the importance of measuring changes in capacity, perhaps because they do not give capacity building high priorities for expected outcomes or there are other partners active in the country which are already supporting that outcome.

Question 3 - Quantitative Measures	Mexico	**Brazil**	**Ind**	**Laos**	Ghana	DRC	**B. Faso***	
Natural forest cover area	x	x	x	x	x			5
Deforestation and degradation (area)	x	x	x	x	x			5
Afforestation and reforestation (area)		x				x	x	3
Amount of CO2 sequestered and/or emissions avoided	x		x	x	x		x	5
GHG reduction or emission avoidance on non-forest lands		x-10			x	x-11		3
FIP $ investment ratioed to forest area change	x		x		x			3
FIP $ investment ratioed to CO2 sequestered/avoided	x			x	x		x	4
Local community/Indigenous peoples tenure, management	x		x	x	x		x	5
Capacity built through training and other programs		x	x				x	3
Sustainability from additional leveraged funds	x	x	x	x			x	5
Improved biodiversity				x	x			2
Other		9						
	7	5	6	6	8	2	6	

Notes
9 = Number of rural properties inserted in SiCAR; number entities trained in forest fire alerts
x-10 = restored pasture, no-tillage
x-11 = (indirect GHG measures) quantitative measure of number of efficiency stoves sold and produces; and tons of charcoal saved by energy-efficiency stoves

Annex 2: Results Monitoring and Reporting in FIP Pilot Countries – Extracts from Endorsed Investment Plans

BRAZIL INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

The transformational impact derives mainly from two factors: a) the synergies established among the four project leading institutions (Ministry of Environment, Ministry of Agriculture, Livestock and Food Supply, Ministry of Science, Technology and Innovation and Brazilian Forest Service);and b) the implementation of the four projects and the achievement of the expected results will establish enabling conditions to overtake existing bottlenecks preventing the sustainable development of the Cerrado biome.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

(1) Implementation of a rural environmental regularization system (CAR) in 11 states of Cerrado
(2) Further the Sectoral Plan for Carbon Mitigation and Adaptation of Climate Change for a Low Carbon Emission Agriculture (ABC plan) through sensitization campaigns and direct support technical support to farmers and providers of services and inputs, and additionally, financial support to farmers
(3) Stock taking of resources in the Cerrado by implementation of the National Forest Inventory
(4) Implementation of a system for monitoring vegetation cover, and early warning system for the prevention of forest fires

3. What are the key planned quantitative results (numbers) and indictors to capture them?

R1 Sustainable management adopted in previously converted areas
(I1) Number of rural properties inserted in SiCAR
(I2) Changes in the acreage of deforested area in RL and APPP registered in the CAR in the Cerrado
(I3) Changes in the acreage of degraded areas in the RL and APP registered in the CAR in the Cerrado
(I5) ha of restored psature land
(I6) ha of Crop-Livestock-Forest integration
(I7) ha of no-tillage system
(I8) ha of biological nitrogen uptake
(I9) ha of planted forests

R2 Environmental information produced and disseminated and forests and forest landscapes managed in a sustainable way in order to address the drivers of deforestation and forest degradation
(I5) Number of state and municipal entities trained and organized to receive forest fire alerts

R3 Capacity for tackling the immediate and underlying causes of deforestation and increased degradation
(I1) Number of technical assistance providers, producers, and financial agents trained in good forestry, agricultural and livestock-raising practices

R4 New and additional resources for forests and projects related to forests
(I1) Leveraging funding from other international sources (bilateral and multilateral)

R5 Incorporation of learning through the development of stakeholders thoroughly familiar with REDD+
(I1) Number of different types of knowledge-disseminating instruments created and shared

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

R1 Sustainable management adopted in previously converted areas
(I4) Identification of investments outside the forest sector for addressing the drivers of deforestation and forest degradation in the Cerrado

R2 Environmental information produced and disseminated and forests and forest landscapes managed in a sustainable way in order to address the drivers of deforestation and forest degradation
(I1) Forest inventory results of the Cerrado publicly available
(I2) National Forest Information System (NFIS) accessible to everyone, providing information on different topics related to forest resources and forest management
(I3) Offical annual reports on vegetation cover and land use in the Cerrado publicly available
(I4) Official annual repost on the extent of burned areas publicly available
(I6) Integration of natural forest conservation into the land use planning process
(I7) Identification of legislation linked to the CAR and its instruments for detecting and processing violations
(I8) Official annual reports on size of APPs and RLs publicly available

5. Which are the proposed methods for data collection, measuring and calculation?

- Indicators under **R1** will rely on National Monitoring and Evaluation Systems, and where it concerns monitoring of rural properties the information will be drawn from the SiCAR
- All other indicators (with the exception of **R5**) will also rely on established National Monitoring and Evaluation Systems, and where it concerns estimations for GHG emissions, Brazil will use the same methodology of the National Communication to the UNFCCC.

- **R5** will draw its information from the reports of the project executors

6. Are there baselines available for the indicators measuring the investment plan results?

No baseline information is provided for any of the indicators, but will, along with targets, be determined later.

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

Investment Plan
MDB: World Bank; Government Agency: MMA
Implementation and management of the Brazil Investment Plan – to enable the functioning of the Plan Management Unit to support activities of management, monitoring and evaluation and outreach of the Brazil Investment Plan with a view to strengthen the coordination and synergies amongst projects throughout the execution phase. Estimated FIP funds: USD 1.0 million. (Component 4 of project 1.1)

Project 1.1- Environmental regularization of rural lands (based upon the CAR)
MDB: World Bank; Government Agency: MMA
Implementation and management of the Project – to support activities related to the management and implementation of the Project. A project Director will be responsible for overall project implementation. The project will produce guidelines and manuals and promote meetings and workshops to build capacity at Federal, State and Municipal level to implement the CAR. Additionally a communication plan will be developed as an outreach strategy to inform and involve stakeholders (municipalities, producer's rand their representative entities, NGOs, others) in the project. MMA will be the main responsible to supervise technical and financial aspects of the project, and monitor project indicators. Estimated FIP funds: USD 6.5 million.

Project 1.2- Sustainable production in areas previously converted to agricultural use (based upon the ABC Plan)
MDB: World Bank in collaboration with the International Financial Corporation (IFC); Government Agencies: Ministry of Agriculture, Livestock and Food Supply (MAPA)/Embrapa.
Implementation and management of the Project – to support activities related to the management and implementation of the Project. A project Director will be responsible for overall project implementation. MAPA will be the main responsible to supervise technical and financial aspects of the project, and monitor project indicators. Estimated FIP funds: USD 2.6 million.

Project 2.1- Forest information to support public and private sectors in managing initiatives focused on conservation and valorization of forest resources
MDB: Inter-American Development Bank (IDB); Government Agency: Brazilian Forest Service (SFB)/MMA
Implementation and management of the Project – to support the Project implementation, as well as to establish a monitoring system based on indicators that will allow following up and controlling expected results vis-à-vis the project schedule. It includes a basic team to manage administrative processes of buying goods and services, according to BID procedures and

standards, and promoting annual meetings with external participants. It will be part of the existing NFI PMU (Project Management Unit) already established to support the NFI GEF project. Estimated FIP funds: USD 0.7 million.

Project 2.2- Implementation of an early-warning system for preventing forest fires and a system for monitoring the vegetation cover
MDB: World Bank; Government Agency: General Coordination for Management of Ecosystems and Biodiversity (CGEC) of the Ministry of Science, Technology and Innovation (MCTI)
Implementation and management of the Project – to support activities related to the management and implementation of the Project. A project Director will be responsible for overall project implementation. MCTI will be the main responsible to supervise technical and financial aspects of the project, and monitor project indicators. Estimated FIP funds: USD 0.65 million.

8. Which entity is responsible for M&E and who does it report to?

See project specific implementation arrangements referred to in 7 above.

Annexes*

Annex 1: Summary of Country Investment Plan
Annex 2: Logic model
Annex 3: FIP IP Results Framework
Annex 4: Overview (text or figure) of how FIP M&E is integrated into existing national monitoring system

*Available on request

BURKINA FASO INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

Burkina Faso's FIP investment plan is designed to achieve a transformational change in forest and woodland management through close coordination between local communities and the reform of regulatory and legal frameworks. Territory-specific (as opposed to sector-specific) investments will focus on enabling activities both within and outside the forest sector, including land use and rural development planning. FIP resources will strengthen existing REDD+ activities by reinforcing Burkina's REDD+ Readiness Plan and providing a source of experience to influence REDD+ strategy formulation. Two FIP projects aim to demonstrate an alternative low carbon development pathway.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

(A1) Regulatory framework has improved – legal and regulatory documents are updated, harmonized, and disseminated, capacity of institutions and actors involved in forestry and forest governance improved:

(1) Updating and harmonization of legal/regulatory frameworks for sustainable forest management;
(2) Establish inter-ministerial coordination mechanisms for transversal aspects of forest and land sector policy, planning, practice, and monitoring;
(3) Legal documents disseminated in rural areas in an efficient manner;
(4) Evidence that infractions in the forest sector are detected, reported and penalized;
(5) M&E systems at national and local levels measure effectiveness in application of government principles;
(6) Number and quality of studies undertaken with program support and disseminated to national research institutions;
(7) Number of national and local institutions, communes, and communities which have benefited from appropriate institutional support.

(A2) Improved sustainable forest and woodland management as a result of a responsible participation of local stakeholders and improve capacities for forest administration:

(1) Number of hectares benefitting from afforestation / reforestation;
(2) tCO2 sequestered from reduced deforestation and forest degradation or natural regeneration, re- and afforestation activities;
(3) evidence of adoption of land use management practices aiming at improving natural resource management and forest and woodland management by users;
(4) extent of participation of local stakeholders in the planning, management, and monitoring of forest related activities;
(5) evidence of increased involvement of the private sector in sustainable forest management;
(6) increase in hectares of forests/woodlands sustainable managed by the state, communes, local administrations, and private actors;

(7) effective involvement of women in sustainable forest and woodland management.

(A3) Extent to which FIP experience helps leverage resources for similar investments:
(1) investment documents citing FIP pilot country projects;
(2) evidence of capacity of national and local authorities to manage program activities strategically, including by performance payments

3. What are the key planned quantitative results (numbers) and indictors to capture them?

Note: There outcomes or indicators for the two projects and their respective sub-components in the Investment Plan are not clearly defined. Sections 3 and 4 of this document provide, to the extent possible, an overview of the project activities and, and where possible, the expected results.

Project 1: Decentralized Forest and Woodland Management (PGDDF)

Objective: To promote an alternative low carbon development path that both reduces poverty and limits the degradation of woodlands.

Component 1: REDD+ Strategy Development and Consultations

Activities:

(i) Development of the institutional framework, consultation structures and coordination bodies for REDD+ readiness and FIP implementation;
(ii) prepare and conduct a multi-step consultation and participative process on REDD+ readiness preparation and FIP implementation;
(iii) organize the technical support to the REDD+ readiness process including international technical advice and mandates to local research and capacity building institutions;
(iv) organize and supervise technical, legal and financial studies for REDD+ readiness; (v) develop a national REDD+ strategy;
(v) define pilot activities for REDD+ readiness to be implemented through the FIP projects;
(vi) develop information registries; and
(vii) conduct the SESA.

Component 2: Support Integrated Landscape Development

Sub-Component 1: Support Land-Management Capacities of Communes

Activities:

(i) Improvement of land planning capacities (“Plan Communal de Developpement” - PCD) and local governance for land tenure;
(ii) support the process of transfer of environmental competencies to local administrations;
(iii) support improvement of local and participative planning tools (in terms of climate change and degradation of natural capital), including conflict resolution mechanisms;

(iv) strengthen the human, the technical, and the financial capacity of the administrations;
(v) strengthen the capacity of local actors regarding forest and woodland management, by drawing lessons from experiences in co-management and other forms of participatory management;
(vi) clarify the key elements for management and protection of local species of economic interest and wildlife resources;
(vii) support the implementation of an information/ education/communication strategy for local administrations (sustainable development education, education on -eco-citizenship, etc);
(viii) support to build capacity in local civil society organization and forest communities.

Sub-Component 2: Community Driven Micro-Projects to Reduce the Impact of the Main Drivers of Deforestation

Activities:

(i) The delimitation of areas for conservation, habitation and production in community village lands within the territories administrated by Local governments (including wildlife protection areas), comprising also legal aspects for the management and creation of village hunting areas (ZOVIC) around villages (with management undertaken by concerned village associations);
(ii) support to local conventions defining modalities for participatory management, and the rules regarding the access to and the use of communal/municipal forests (including controls, enforcement and sanctions including the bush fire control);
(iii) The creation of communal, community and private forests, with the identification, delimitation and registration of forests ("chartes foncières rurales"), identification of investment priorities for improved management and agreement on and definition of rules regarding access and use of resources. Other similar activities would include the preparation of communal forest management plans and implementation activities through participatory management;
(iv) The establishment of institutional and technical mechanisms that will enable to sustainably manage the land uses in a landscape approach rather than in a fragmented "silo" approach;
(v) The support to Agroforestry and other Woodland actions that would focus on perennial trees and shrubs (palm trees, fruit trees, fodder trees, timber trees) associated with cultivated grasslands for livestock, through spacing and rotation. Investments in afforestation and reforestation would allow for improvements in the food security of populations (social co-benefits) and contribute to natural forest regeneration (environmental and social co-benefits). Taking into account the Burkinabe production systems,

agro-forestry will focus on silvo-pastoralism and agro-silvo pastoralism (combining trees, crops and animal production). The role of women, who play an important role in these activities, would be highlighted;

(vi) Technical, administrative and financial measures for improved cooperation between local governments for the management of forests located within the boundaries of two or several municipal territories;

(vii) Extension and dissemination for enhanced adoption of best practices for natural resource management (NRM) including support to sustainable land use practices that reduce carbon emissions and enhance carbon sequestration, in both agricultural and pastoral landscapes. This would include practices that integrate woodland, crop and livestock raising (agro-forestry and agro-silvo-pastoralism);

(viii) The development of alternative household energy sources, through promotion of substitutes (residues), use of bio-energy (including from Jatropha), biomass briquettes, improved stoves and other cooking materials. These activities would create employment and reduce household energy expenditures as well as decrease pressure on forests and protect biodiversity.

Component 3: Forest Products, Value Chain

Activities:

(i) Investment initiatives to develop income generating activities linked with a sustainable utilization of timber and non-timber forest products and wildlife. Those investments would include promoting/reinforcing small private initiatives, valuating local know-how and traditional knowledge, helping them improving accessing the market, secure their rights and strengthen their organization. Such pilot investment will have a significantly impact on poverty reduction and economic development while ensuring a sustainable increase of the biomass stock.

(ii) Capacity building for private sector and forest user groups, comprising better understanding the technical, the regulatory and the financial aspects regarding value chain development of forest products; defining the procedures for professionalization of forest value chains (hunting, beekeeping, wood, charcoal, Arabic gum, shea nut), strengthening synergies between the private sector, the SMFEs, and the forest users groups, and consolidating the producers unions and the federations to improve their effectiveness(GGF et UGGF).

Component 4: Information Sharing, Program Coordination and Lessons-Learning and Research

Sub-Component 1: Information and Knowledge Sharing, Lessons Learning (ISL) (for both projects)
Expected Results:

(i) The identification, scaling up and dissemination of best local practices for sustainable local development and landscape management (sustainable land, forest and woodland management);
(ii) A greater implication of private sector in improved sustainable management of forest products;
(iii) increased capacities for carbon sequestration;
(iv) assessments of the various innovative approaches experience to be eventually scaled-up in larger areas;
(v) technical and institutional capacities building activities for SMFEs and local association networks;
(vi) improved knowledge management concerning sustainable forest management and the use of forest products leading to an improved institutional governance, particularly in local governments.

Sub-Component 2: FIP Program Strategic Coordination (for both projects)
Activities:

(i) establish a system of monitoring and evaluation for all activities using measurable, objective indicators that are established in advance;
(ii) establish collaboration and partnerships with other programs in the forest sector;
(iii) share knowledge across all forest actors, and with other countries which would benefit from the FIP.

Sub-Component 3: PGDDF Project Coordination
Expected Result(s):

(i) reinforce MEDD capacities regarding procurement and financial management to maximize synergy and operational efficiency of projects.

Project 2: Participatory Management of State Forests (PGPFC/REDD+)

Component 1: Reinforcing Forest Governance for REDD+
Sub-component 1: REDD+ Reference Level and MRV Development
Activities:

(i) Define model to create a baseline reference scenario;
(ii) the technical development of the system, including assessment of the precision of BDOT 2010, the improvement of the nomenclature for the purposes of MRV (classes of degradation, height-density indices of the plantations),institutional aspects of implementing the MRV system, and

detailed development of the MRV system;

(iii) the measurement of underground wood by stratum (field work compilations and report) and additional Inventory of new "substrata" (this activity will be delegated to IFN2 structure);

(iv) the evaluation of the capacity and the potential for carbon sequestration of different forest species and ecosystems and the potential for increasing productivity;

(v) the independent evaluation of the MRV system, the communication of the MRV system and methodology and the audit of one periodic measurement (to ensure compliance with the requirements of the UN Convention on Climate Change);

Sub-Component 2: Improving Legal and Institutional Framework

Objective: Place regulatory implementation mechanisms into the broader legal, strategic, and institutional frameworks at the national and local levels.

Activities:

(i) Updating and harmonizing the legal texts (especially national forest legislation) in order to enable the establishment of a REDD+ process in Burkina Faso, to include an analysis of existing legislation regarding the Burkinabe agro-silvo-pastoral sector, the identification of gaps and inconsistencies and the development of the appropriate legal and regulatory instruments, the harmonization of legislation regarding forests, natural parks and protected areas and the clarification of the statutes of forests and woodlands;

(ii) harmonizing customary and modern land rights regarding access to and use of land, as well as the revision of certain provisions of the colonial period which are still applied;

(iii) integrating forest sector considerations (including sustainable forest management, protection and conservation of species of economic interest with high carbon potential)onto sector policies and broader economic planning documents (SCADD), as well as onto local planning approaches (for Local governments);

(iv) reinforcing the implementation mechanisms of the rural land code46 (especially in terms cof the improvements related to agro-silvo-pastoralism); in order to support improvements in land rights and management related to agro-silvo-pastoralism (with related environmental and social impacts), with a focus on rural land use plans, to support mapping and classification of Regional and National forest, the establishment of local land use charters to secure access to community;

(v) the establishment of participatory, transparent mechanisms enabling different actors to participate in policy making and in activity implementation;

(vi) the consolidating the inter-sectoral coordination;

(vii) the development of a strategy for long term resource mobilization and an appropriate financing mechanism for REDD+ activities

scale-up.

(viii) Conducting a study on the attribution of revenues between the State and local governments and support poverty reduction. (iii) Conducting a study on the public expenditure in the Forest sector, in particular the FIP will support the analysis and operationalization of the National Forest Fund ("Fonds d'Aménagement").

(ix) support the definition or the confirmation, at central and local levels, of decision-making and the implementation of transparent and efficient mechanisms, the promotion of rules for local protection/conservation of species of economic interest with significant carbon potential, the implementation of regulations regarding responsibilities of different forest actors and the adoption of participatory, inclusive approaches to planning, the implementation and the monitoring of all activities concerning the forest sector.

Sub-Component 3: Capacity Building for the Central and Decentralized Administrations

Capacity development to focus on:

(i) Decentralized services (environment and forestry officers) regarding new responsibilities related to sustainable development, decentralization and the economic and environmental value of forests;

(ii) national level civil society organizations and forest and hunting users' group, regarding adoption of improved techniques of agro-silvo pastoralism (this will also help improve coordination between representatives of 'forest management groups' (GGF) and 'unions of forest management groups' (UGF), and strengthen their capacity regarding forest governance and sustainable forest management;

(iii) small and medium forest enterprises (SMFEs) because the private sector can be an engine for economic growth, and SMFEs can have comparative advantage in the area of forest utilization

Component 2: Participatory Management of State Forests

Expected Results:

(i) Establishment of a MRV system for the implementation of the national REDD+ strategy (with a huge replication potential in semi-arid context);

(ii) The immediate contribution to the definition of a coherent legal framework and to the national coordination for REDD+;

(iii) The immediate contribution to the identification of legal measures regarding the protection, the restoration, and the management of forest areas;

(iv) Improved state forest management (with direct positive impact on reducing key deforestation drivers)with poverty reduction impact;

(v) Increased participation of local stakeholders in the identification and the

implementation of priority forest actions;
(vi) The identification of key constraints related to forest governance and an improvement of forest governance;
(vii) The improvement of capacities on sustainable forest management.

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

See sections 2 and 3.

5. Which are the proposed methods for data collection, measuring and calculation?

(1.1): Program M&E, based on qualitative and quantitative parameters and analysis of policy and regulatory documents;
(1.2): Official gazette;
(1.3): Survey in rural areas;
(1.4): Number of infractions, as measured by Ministry of Justice / MEDD;
(1.5): M&E mission/ mission of the M&E expert
(1.6): Project activity report and relevant publications
(1.7): Mission of M&E expert and project activity report

(2.1): Mission of M&E expert; report from MEDD;
(2.2): measured relative to reference emissions level, per $ invested in local
(2.3): Mission of M&E expert; report from MEDD;
(2.4): Mission of M&E expert; report from MEDD;
(2.5): Mission of M&E expert; report from MEDD;
(2.6): Mission of M&E expert; report from MEDD;
(2.7): Mission of M&E expert; report from MEDD;

(3.1): UNFCCC planning;
(3.2): Joint monitoring and supervision reports.

6. Are there baselines available for the indicators measuring the investment plan results?

(1.1): Harmonization objective outlined in Ten-Year Action Plan (PDA) 2006-2015, but present situation to be assessed during preparation;
(1.2): §5.2 Table 12 (p.137)
(1.3): N/A – Present situation to be assessed during preparation;
(1.4): N/A – present situation to be assessed during preparation;
(1.5): None;
(1.6): 0;
(1.7): N/A – Present situation to be assessed during preparation;

(2.1): PDF p. 148; PDF p. 316;
(2.2): PDF p. 316 – reference scenario to be used as baseline; (see also PDF p. 114 for expected CO2e outcomes)

(2.3): Present situation to be assessed during preparation;
(2.4): Present situation to be assessed during preparation;
(2.5): Present situation to be assessed during preparation;
(2.6): Present situation to be assessed during preparation;
(2.7): Present situation to be assessed during preparation;

(3.1): None;

(3.2): None.

NB Most of the information for the baseline will come from the current National Inventory (IFN2) that is financed by the Luxembourg Cooperation. The results are expected next December (about at the time of the Board approval). This IFN2 project Implementation Unit is supposed to become a more sustainable structure within the BF administration and will be operated after the end of the IFN2 project. Therefore, all the competencies for M&E are there, but don't know yet where it will be in the BF administration

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

FIP M&E will be funded by the USD 1 million budget for the National REDD Committee's National REDD Coordination Unit, a technical secretariat, as well as by support from bilateral partners, including Luxembourg and Sweden. See PDF p. 63 for more information.

8. Which entity is responsible for M&E and who does it report to?

FIP M&E will be conducted by the National REDD Coordination Unit, a technical secretariat under National REDD Committee, which reports to the Minister for the Environment and Sustainable Development. See PDF p. 63 for more information.

Annexes*

Annex 1: Summary of Burkina Faso's Investment Plan
Annex 2: Burkina Faso's FIP Logic model
Annex 3: Burkina Faso's FIP Investment Plan Results Framework
Annex 4: Overview of FIP M&E integration into existing national monitoring system

*Available on request

DRC INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

The Investment Plan sets out three main goals: (i) to concentrate the investments on the "hotspots" of deforestation located in the supply areas of the large cities; (ii) to channel investments towards sectoral activities that address the immediate causes of deforestation and that generate measurable emissions reductions and co-benefits; and (iii) to support the improvement of enabling conditions so that these sectoral activities can flourish and start addressing some of the underlying causes of deforestation.

The latter intervention will take place on two levels: on the one hand, at the national level to initiate an in-depth transformation of the DRC governance, and on the other hand, at the local level, providing concrete support to the development of projects spearheaded by the local communities, Indigenous Peoples and the private sector. The combination of activities both of a "sectoral" and "enabling" nature within a given geographical area makes it possible for the DRC to obtain a transformational result through the FIP.

The interventions to be financed by the FIP in DRC are expected to generate measurable results in terms of reduced emissions for which the country will seek compensation through a performance-based mechanism (such as the FCPF Carbon Fund, bilateral deals or the carbon market). These emission reductions payments will ensure the long-term sustainability of the various activities proposed, especially those with a long-term nature, such as reforestation and support for community forestry, including capacity building for the creation of Small and Medium Enterprises. Hence, the FIP
Investment Plan can be seen as an attempt to form a link between REDD Preparation and future performance-based payments for Emission Reductions.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

A - The proportion of woodfuels& agricultural products produced in a sustainable way has increased
B - Woodfuel consumption in urban area has decreased
C - Natural forests management is more sustainable and rural land tenure is more transparent and induces official reform in the law on land tenure

3. What are the key planned quantitative results (numbers) and indictors to capture them?

Ad A:
a) Nb of ha of afforestation/reforestation (forestry/agroforestry models) planted (Local communities & indigenous peoples/private sector sequestrated

Ad B:
a) Estimate of the nb of tons of charcoal saved by energy-efficient stoves/energy alternative
b) Nb of energy efficient stoves produced/sold

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

Enabling activities identified throughout the IP but not reflected in the results framework.

5. Which are the proposed methods for data collection, measuring and calculation?

Program monitoring system (reports)

6. Are there baselines available for the indicators measuring the investment plan results?

In due course, the National Forest Monitoring System, the National Forest Inventory and the Greenhouse Gas Inventory are in a launching process. In the other hand, the National REDD Coordination has completed the Strategic Environemental and Social Assesment (SESA) which is being declined into different Environmental and Social Management Framework (ESMF).

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

The activities presented in the FIP can be defined as sub sub-national demonstration activities. They will
be directly validated by the DRC Forest Monitoring System in Phase II of REDD+ implementation in
the country.

Current status
The overall status of the DRC forest Monitoring and MRV system is currently as follows:
□□ The main government partners involved in the Monitoring and MRV System in the DRC are DIAF, the Direction for Sustainable Development University of Kisangani and the local branch of the Wildlife Conservation Society. On the
international side, the main partners are the Japanese cooperation, the International Tropical Timber Organization's REDDES project, the UN-REDD Programme (through FAO), the FCPF, the OFAC, OSFAC, SDSU and UCL.
□□ Amongst these partners there is an understanding of the need for a collaborative approach to coordinating activities and budgetary lines;
□□ In reference to the budget, Japan is actually the largest contributor especially to the National Forest Inventory covering three provinces (Bandundu, Equateur, Province Orientale) in terms of technical equipment and implementation of this Inventory only in one province (Bandundu). For the remaining ten provinces, the National Forest Monitoring, along with the National Forest Inventory and the Green Gas Inventory will be conducted by FAO. □
National Forest Inventory and the Satellite Forest Monitoring System, is proposed that the DRC

uses a multi-stakeholder and multi-data approach. This will significantly reduce risks from a politico-financial perspective and enhance the success of the national monitoring and MRV system as the government will not be dependent on one stakeholder or one data source;
□□ Coordination is going well between the international stakeholders, mainly between Japan and FAO. □□
clear that there is an important funding gap for the monitoring and MRV system in the DRC. An outcome of the National Forest Monitoring and MRV action plan will be to provide a preliminary assessment of how big this gap is and for which activities. In the meantime, FAO has secured some funds till 2017.

8. Which entity is responsible for M&E and who does it report to?

- For National Forest Monitoring and National Forest Inventory : Department of Forest Inventory and Management (DIAF) of the Ministry of Environment, Nature Conservation and Tourism
- For Greenhouse Gas Inventory : Department of Sustainable Development (DDD) of the Ministry of Environment, Nature Conservation and Tourism

Annexes *

Annex 1: Summary of Country Investment Plan
Annex 2: Logic model
Annex 3: FIP Lao IP Results Framework
Annex 4: Overview (text or figure) of how FIP M&E is integrated into existing national monitoring system

*Available on request

GHANA INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

An analysis of the underlying drivers and the potential for carbon abatement against the FIP investment criteria and scope within the REDD+ readiness process in Ghana, indicate that the best added value from the Forest Investment Plan will be achieved by:

1. Mitigating effects of agricultural expansion on forests and carbon stocks (particularly cocoa expansion and transition to open cocoa farming in the HFZ);
2. Addressing unsustainable forest use and wood harvesting, especially by supporting sustainable supply of timber and wood products to meet export and domestic demand from a value chain approach;
3. Clarifying tree tenure and rights regimes and developing more inclusive benefit sharing arrangement, especially in off-reserve areas; and
4. Addressing the access to credit, incentives and investments of the private sector in forestry and agriculture.

The FIP investments will be focused both thematically as well as geographically to achieve the best added value as well as have the greatest opportunity for scaling up, and hence over the long-term make a significant impact to reduce GHG emissions in Ghana.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

The major transformations that FIP will introduce include:

a. Change in tree tenure and benefits regimes that would provide incentives to plant, retain and manage trees, especially naturally occurring trees in off-reserve areas;

b. New inclusive models for management and benefit sharing arrangements rewarding relevant stakeholders (GoG, local communities, traditional authorities, private sector, civil society) for management of FRs;

c. New financial instruments and incentives (e.g. REDD+, commodity roundtables, green investment standards and incentives) and engaging the private sector in REDD+ and in sustainable investments in the forest and agriculture value chains; and

d. Improved coordination between ministries, agencies, stakeholders, both at national as well as sub-national and local level.

The activities required for these transformations may be very different in nature: ranging from work on policy and legislation, capacity building and technical support, piloting of different management and benefit sharing models, to scaling up investments.

3. What are the key planned quantitative results (numbers) and indictors to capture them?

Reduced GHG emissions from deforestation and degradation; enhancement of forest and agricultural carbon stocks
a) Tons (millions) of CO2 emissions from reduced deforestation and forest degradation relative to reference emissions level;
b) Tons (millions) of CO2 sequestered through natural regeneration, re- and afforestation activities, and conservation relative to forest reference level;
c) Tons (millions) of CO2 sequestered through agroforestry and other landscape restoration interventions relative to reference levels.

Reduced poverty through improved quality of life of forest dependent local peoples and forest communities

a) Percentage of local community members/ forest communities (women and men) with legally recognized tenure rights and secure access to economic benefits and/or the means of maintaining traditional livelihoods;
b) Changes in income in forest communities over time;
c) Percentage of enrollment of boys and girls in primary and secondary education among local and / forest communities (MDG 2 a);
d) Other quality of life indicators may be identified and validated through a consultative process with local communities.

Reduced biodiversity loss and increased resilience of forest ecosystems to climate variability and change
a) Percentage (%) change in forest fragmentation (rate and area);
b) Reduction in the rate of loss of intact forest areas important for maintaining native biodiversity, ecosystem functions, including water, air quality, soil protection and resilience to climate stress;
c) Species richness index29 and Shannon-Weiner or Information Index.

Reduced deforestation and forest degradation
a) Change in hectares of natural forest cover (percentage change against baseline);
b) Change in hectares of natural forest that are degraded (percentage change against baseline);
c) tCO2 sequestered/$ by investment plan;
d) Areas (ha) of deforestation/degradation avoided/$ of investments.

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

Increased direct management of forest resources by local communities
a)Increase in land and resources under legal control and management of local communities including through traditional forest management systems.

Improved enabling environment for REDD+ and sustainable management of forests
a) Change in the extent to which environmental/GHG/ deforestation considerations/ solutions are integrated into the process of creating economic incentives/new policies and programs;
b) Area of forests under clear, non-discriminative tenure and territorial rights, including the recognition of traditional rights;
c) Evidence that infractions in the forest sector are detected, reported and penalized;
d) Extent to which local communities (women and men) have access to relevant information in a timely and culturally appropriate manner;
e) Other "Nationally owned-governance" indicators, developed through a country-led process.

Access to predictable and adequate financial resources, incl. results-based incentives for REDD+ and sustainable management of forests
a)Leverage funds through results-based schemes offered by bilateral partnerships, the FCPF Carbon Fund or other mechanisms.

5. Which are the proposed methods for data collection, measuring and calculation?

National monitoring system (to be developed)
UNCBD reporting

Project 2: Engaging local communities in REDD+/Enhancement of carbon stocks
Sub-Component 1.2: Capacity building, research, monitoring and lessons learning
Set up Carbon Stocks Monitoring Centre and Carbon Flux Towers and tree provenance areas

Establish a systematic monitoring and evaluation framework for community restoration of degraded landscapes [plantation development]: Ghana has recently completed a National Carbon Map. Thus the development of an efficient Measurement (monitoring), reporting, and verification (MRV) framework should be a focus of this output. However, concerns were raised that until scope and reference level issues have been resolved in the country, MRV components remain in flux.

6. Are there baselines available for the indicators measuring the investment plan results?

No. Will be collected through projects.

Sub-Component 4.2: *Coordination & Knowledge dissemination of project 1.*
- Collect the socio economic and forest baseline information for all FIP projects

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

Will be funded from project resources (Sub-Component 4.2: sub-component 1.2. of project 2) – not specified yet as projects are not fully developed yet.

8. Which entity is responsible for M&E and who does it report to?

Forestry Commission, Ministry of Lands and Natural Resources (MLNR)

NB The proposed Establishment of a Climate Change Support and Impact Monitoring Disclosure System (CCSI-MDS) at the Ministry of Environment. The system would compile and monitor all climate change related initiatives in Ghana. This initiative planned under the NREG TA would eventually receive parallel financing from DfID

Annexes*

Annex 1: Summary of Ghana Investment Plan
Annex 2: Logic model
Annex 3: Ghana IP Results Framework
Annex 4: Overview (text or figure) of how FIP M&E is integrated into existing national monitoring system

*Available on request

INDONESIA INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

The Government of Indonesia intends to enhance forest governance by reforming land use planning and tenure systems, enhancing law enforcement and lowering barriers to subnational REDD+ implementation. The cumulative effect of all these changes is to meet its national commitment to reduce GHG emission by 41% (as compared with BAU scenario) with international support by the year 2020; develop capacities for sustainable management at the level of government institutions acting nationally and sub-nationally, as well as local communities and private sector stakeholders and engender a culture of environmentalism and climate awareness among those stakeholders. See pgs 29-33

2. **Which are transformational outcomes at investment plan level and how are they captured?**

(1) Reduced/avoided GHG emissions from deforestation and forest degradation, and enhanced carbon stocks*
(2) Reduced poverty (co-benefit)
(3) Reduced biodiversity loss (co-benefit)
(4) Increased resilience of forest ecosystems (co-benefit)

*BAU emissions are computed based on historical deforestation rates in key districts, assuming 200tC/ha primary forest; 160tC/ha non-primary forest, and annual emissions from peat degradation are estimated at 34tCO2e/ha

3. What are the key planned quantitative results (numbers) and indicators to capture them?

R1 *SFM of forests and forest landscapes to address drivers of deforestation and forest degradation*
(I1) change extent of deforestation in project/program area (ha)
(I2) change in extent of forest degraded in project/program area (ha)
(I3) reduction in degradation or loss of intact forest areas
(I4) reduced/avoided GHG reduction by FIP intervention

R2 *An institutional and legal/regulatory framework that supports sustainable management of forests and protects rights of local communities and indigenous people*
(I2) Area of forests under clear, non-discriminative tenure and territorial rights, including the recognition of traditional rights
(I3) Volume of public and private finance mobilized as a direct results of program interventions ($)

R3 *Local communities' and indigenous peoples' capacity strengthened to access information and participate in decision making*

(I1) People in targeted forest communities with increased monetary or non-monetary benefits from forest resources (#)
(I2) % of indigenous people and local community members/forest communities (women & men) with legally recognized tenure rights and secure access to economic benefits and/or the means of maintaining traditional livelihoods

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

R2 *An institutional and legal/regulatory framework that supports sustainable management of forests and protects rights of local communities and indigenous people*
(I1) evidence that forest-related laws and regulations are being implemented, monitored, and enforced and that violations are detected, reported, and prosecuted.
(I3) Increased access to relevant information (in a timely and culturally appropriate manner).

5. Which are the proposed methods for data collection, measuring and calculation?

R1(I1) no information provided
(I2) no information provided
(I3) no information provided
(I4) no information provided

R2(I1) no information provided
(I2) assessment of local land claims will be conducted in target areas
(I3) no information provided

R3 (I1) no information provided
(I2) no information provided
(I3) not applicable, target just needs to be met

6. Are there baselines available for the indicators measuring the investment plan results?

R1(I1) to be determined during project preparation
(I2) to be determined during project preparation
(I3) to be determined during project preparation
(I4) to be determined during project preparation

R2(I1) to be determined during project preparation
(I2) to be determined during project preparation
(I3) no

R3 (I1) to be determined during project preparation
(I2) to be determined during project preparation
(I3) no

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.
Information not presented
8. Which entity is responsible for M&E and who does it report to?
Transformational outcomes as outlined in Q2- Forest and Climate Change Focal Point Program Outcomes at the Investment Plan level – FIP Coordination unit/agency and MDB
Annexes*
Annex 1: Summary of Country Investment Plan Annex 2: Logic model Annex 3: FIP IP Results Framework Annex 4: Overview (text or figure) of how FIP M&E is integrated into existing national monitoring system *Available on request

LAO PDR INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

The Lao PDR FIP Investment Plan outlines a strategy to pilot and scale-up approaches to increasing participatory and direct management of forests by villages and households; strengthening institutional capacity for sustainable forest management; improving the enabling environment for REDD+; and improving access to financial resources and opportunities for alternative livelihoods among forest-dependent populations. The underlying idea is that grassroots forest managers operating in any and all forest areas will become more active and vigilant in protecting the forests in their areas from the various agents of deforestation and degradation, and will rehabilitate degraded lands using land management systems that will provide them with benefits, while enhancing carbon stocks.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

Transformational outcomes at the investment plan level include (1) reducing GHG emissions from deforestation and forest degradation, and enhancing forest carbon stocks by attaining the FS2020 70% cover target; (2) reducing poverty in forest-dependent villages through increased incomes from sustainable forest landscape-based livelihoods; (3) and reducing loss in biodiversity and forest ecosystems services, especially concerning soil and water resources.

At the investment plan level, Lao PDR's FIP resources aim to achieve three transformational outcomes:

(1) to reduce GHG emissions from deforestation and forest degradation while enhancing forest carbon stocks by attaining the FS2020 70% cover target;
(2) to reduce poverty through increased incomes from sustainable forest landscape-based livelihoods;
(3) to reduce the degradation and loss of biodiversity and forest ecosystem services, particularly soil and water resources.

3. What are the key planned quantitative results (numbers) and indictors to capture them?

(A1) Reduced GHG emissions from deforestation and forest degradation, and enhanced forest carbon stocks by attaining FS2020 the 70% forest cover target:

(a) MtCO2e from deforestation and forest degradation;
(b) MtCO2e sequestered through natural regeneration and tree planting.

(A2) Reduced poverty in forest dependent villages through increased incomes from forest landscape-based livelihoods:

(a) Percent ethnic groups with legally recognized tenure and access to economic benefits;
(b) change in income over time;
(c) percent of enrolment of children of ethnic groups.

(A3) Reduced loss in biodiversity and forest ecosystems services, especially concerning soil and water resources:

(a) Percent change in forest fragmentation;
(b) loss of intact forest areas important for ecosystem functions.

(B1) Reduced deforestation and forest degradation through effective protection by capacitated grassroots level forest managers in all forest areas:

(a) Change in hectares of natural forest cover in state and outside state forest areas.

(B2) Increased participatory and direct management of forest resources by villages and households of various ethnic groups in the different forest area categories:

(a) Change in hectares of forest areas under participatory or direct management by ethnic minority groups.

(B4) Access to predictable and adequate financial resources, including results-based incentives for REDD+ and sustainable management of forests:

(a) Leverage funds offered by bilateral partners under each of the four components;
(b) funds available from FCPF.

(B5) Replication of FIP Lao learning in Southeast Asia:

(a) Number of non-FIP countries in the region replicating FIP program approaches.

(C1) Putting all forest areas under sustainable management by capacitated grassroots-level managers and supporting them:

(a) Hectares of different state forest area categories under PSM agreement with VFOs;
(b) hectares of village forests registered;
(c) hectares of smallholder woodlots established.

(C2) Sustainable management of forests and forest landscapes to address the drivers of deforestation and forest degradation:

(a) Change in deforested hectares of land in project areas;
(b) tCO2e sequestered/USD by various components.

(C5) New and additional resources for REDD+ implementation:

(a) Leverage factor of FIP funding;
(b) USD financing from various sources (disaggregated by source).

(D1) Participatory, sustainable management of state forest areas:

(a) Change in hectares of PSFM area;
(b) change in carbon stocks in state forest areas;
(c) number of participating villages;
(d) number of participating villages whose dominant population comprise ethnic groups;
(e) number of women participating in PSFM.

(D2) Village forest areas expand:
(a) Hectares of village forests registered;
(b) change in carbon stocks in village forests.

(D3) Smallholder forestry with link to ITP developed:
(a) Hectares of smallholder woodlots established;
(b) change in carbon stocks in smallholder woodlots.

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

(B3) Improved enabling environment for REDD+ and sustainable management of state forest areas, village forests, tree plantations, and smallholder woodlots:
(a) Hectares of different state forest area categories under PSFM agreement with VFOs;
(b) hectares of village forests registered ;
(c) hectares of smallholder woodlots established;
(d) evidence of detection and prosecution of illegal logging;
(e) extent to which women and men of various ethnic groups have access to relevant information in timely manner.

(C3) Empowered forest-dependent villages and households of various ethnic groups and promoting their practice of sustainable livelihoods:
(a) Area increase with clear and recognized tenure under sustainable livelihoods;
(b) level and quality of ethnic group participation in decision making and monitoring involved in PLUP-LU.

(C4) An institutional and legal/regulatory framework that supports sustainable management of forests and protects the rights of villages of various ethnicities:
(a) Amendment of the Forest Law to account for a number of REDD+ related issues.

(C6) Integration of learning by development actors active in REDD+:
(a) Number and type of knowledge assets created and shared.

(D4) Strengthening the legal, governance, incentives, and REDD+ framework:
(a) Amendment of the Forest Law to account for a number of REDD+ related issues;
(b) evidence of detection and prosecution of illegal logging;
(c) number of staff trained / proportion of women;
(d) number of villagers trained / proportion of women;
(e) benefits shared by participating villages;
(f) extent to which women and men of various ethnic groups have timely access to relevant information.

5. Which are the proposed methods for data collection, measuring and calculation?

(A1) (a) National forest inventory at 5-year interval using estimation model; (b) National forest inventory

(A2) (a), (b), (c) Socio-economic monitoring
(A3) (a), (b) Forest cover monitoring
(B1) (a) Forest cover monitoring
(B2) (a) National forest information system monitoring
(B3) (a), (b), (c), (d), (e) National forest information system monitoring
(B4) (a), (b) National forest information system monitoring
(B5) (a) MDB cross-country review
(C1) (a), (b), (c) National forest information system monitoring
(C2) (a), (b), (c) National forest inventory / National forest information system monitoring
(C3) (a) National forest information system monitoring; (b) PLUP-LU monitoring reports
(C4) (a) National forest information system monitoring
(C5) (a), (b) compilation of project preparation reports and financing agreements
(C6) (a) MDB monitoring
(D1) (a) (b) (c) (d) National forest information system monitoring / National forest inventory / Project monitoring
(D2) (a), (b) Project monitoring
(D3) (a), (b) Project monitoring
(D4) (a) – (f) National forest information system monitoring / Project monitoring

Note: There is very little detail available regarding M&E implementation.

6. Are there baselines available for the indicators measuring the investment plan results?

(A1) (a), (b) §6.9.1 par. 84 Table 5
(A2) (a) §1.1 par. 3; (b)N/A ; (c) N/A, but see §A1.2.3 par.24
(A3) (a), (b) N/A
(B1) (a) §6.2 par. 64, §II.7 Table 2 (Annex)
(B2) (a) §6.5 par. 68
(B3) (a) – (e) N/A
(B4) (a) §7.2.3 Table 8; (b) N/A
(B5) (a) N/A
(C1) (a) §6.5 par. 68; (b) §6.2 par. 64; (c) §6.2 par. 64
(C2) (a), (b) §1.6 par. 24 Table 3, §6.9.1 par. 84 Table 5
(C3) (a) N/A; (b) N/A
(C4) (a) §2.4 par. 40
(C5) (a), (b) §8 par. 109 Table 8
(C6) (a) N/A
(D1) (a) §6.5 par. 68; (b); (c) §3.1 par. 44; (d) N/A; (e) N/A
(D2) (a), (b) §2.4 par. 28
(D3) (a) N/A; (b) N/A
(D4) (a) N/A; (b) N/A; (c) N/A; (d) §2.4 par. 40; (e) N/A; (f) N/A

Note: N/A indicates that baseline information is either not available or not applicable for the specified indicator.
NB there has been regular national inventory carried out in Lao PDR (1982-1992-2002) and this is mentioned in the investment plan document (para 7-8 and table 2; pgs 2&3). The inventory

was conducted again in 2012 but was not complete in time for the FIP IP submission.

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

Unclear. Some reference to M&E within project components, but no specific details on financing or implementation.

8. Which entity is responsible for M&E and who does it report to?

Unclear. As noted in the first reviewer's comments, the Lao PDR FIP Investment Plan does not include a comprehensive outline of the relevant M&E framework.

There is stronger emphasis on MRV than M&E, presumably due to the FCPF preparation work. §1.5 par. 19: "REDD+ Office will be empowered to establish [an MRV Technical Working Group]."

Annexes*

Annex 1: Summary of Country Investment Plan
Annex 2: Logic model
Annex 3: FIP IP Results Framework
Annex 4: Overview of FIP M&E integration into existing national monitoring system

*Available on request

MEXICO INVESTMENT PLAN
Overview

1. What is the theory of change for using FIP resources?

In order to reach higher transformational impact of interventions sponsored by the Mexico's FIP Investment Plan it will target specific strategic priority areas at State and forest landscape level. This will allow shaping investments taking into account the diverse ecological and socio-economic conditions of Early Action REDD+ Areas. Selected forest landscapes for deploying investments were prioritized taking into consideration: (i) maximizing emissions reduction outcomes and ability to offer additional environmental co-benefits as biodiversity and hydrological services; (ii) short term transformational impact useful for local and national scaling up strategies; and (iii) improving local population livelihoods.

The FIP projects are innovative because of its implementation in these territorial units that will be the focus of policy integration and have diverse set of actors with different degrees of coordination. The goal is to change the way policies are implemented at the local level.

Another main goal and challenge will be to effectively transition from subsidies to credit and private financing mechanisms in the forest sector, and identifying how to appropriately encourage, both communities and financial services providers, to adopt a diverse mix of financing sources. One of the objectives is that *ejidos* and communities see their productive organizations as enterprises and that financial services providers see sustainable rural activities (including sustainable forest management) as business opportunities.

2. **Which are transformational outcomes at investment plan level and how are they captured?**

(1) Reduced GHG emissions from deforestation and forest degradation; enhancement of forest carbon stocks (millions tons CO2e)*
(2) Reduced poverty through improved quality of life of forest dependent indigenous peoples and forest communities **
(3) Reduced loss in biodiversity and services, and increase resilience of forest landscapes to variability and climate change***
(4)

*The baseline for these indicators will be based on national forest inventories/equivalents, and the monitoring system for this purpose is primarily being developed through the Mexico-Norway Initiative (fully operational in 3 years) and will follow relevant UNFCCC/IPCC guidelines.
**Baseline for this indicator will be derived from estimations at the municipal level from CONEVALs estimates for FIP Early Action Areas, as well as by way of an independent survey to be taken in the first year of operation to get household level data
***Determined as a function of reduction in rate of loss of intact forest areas important for maintaining native biodiversity, ecosystem functions including water, air quality, soil protection and resilience to climate stress. Monitoring will be by way of a number of products generated by the National Biodiversity Commission, including Gap analysis for biodiversity conservation of terrestrial conservation priorities

3. What are the key planned quantitative results (numbers) and indicators to capture them?

R1 *Reduced deforestation and forest degradation*
(I1) Change in hectares of natural forest cover (% change against baseline)
(I2) Change in hectares of natural forest that are degraded (% change against baseline)
(I3) tCO2 sequestered/$ by investment plan
I4) Areas (ha) of deforestation/degradation avoided/$ of investments

R2 *Increased direct management of forest resources by local communities and indigenous peoples*
(I1) Increase in land and resources under legal control and management of indigenous peoples and local communities including through traditional forest management systems **(Update-No longer to be considered)**

R4 *Access to predictable and adequate financial resources, including results-based incentives for REDD+ and sustainable management of forests*
(I1) leverage funds through results-based schemes offered by bilateral partnerships, the FCPF Carbon Fund or other mechanisms

4. What are the key planned qualitative results (brief summary description) and indicators to capture them?

R3 *Improved enabling environment for REDD+ and sustainable management of forests*
(I1) Change in the extent to which environmental/GHG/deforestation consideration/solutions are integrated into the process of creating economic incentives/new policies and programs
(I3) Evidence that infractions in the forest sector are detected, reported and penalized **(Update: This indicators will be further described after a Joint Mission among all the institutions involved in the FIP implementation in Mexico (BID, WB, FOMIN, Financiera Rural, Findeca and CONAFOR).**

(I4) Extent to which indigenous peoples and local communities (women and men) have access to relevant information in timely and culturally appropriate manner

5. Which are the proposed methods for data collection, measuring and calculation?

R1(I1) Monitoring system being developed via Mexico-Norway Initiative (fully operational in 3 years) **(Update- Starting from 2012)**
(I2) Not yet clear, Mexico will test communities' approaches to complement national monitoring efforts
(I3) and (I4) Indicators and method will be considered once MRV system has been deployed with the information needed for policy design

R2 (I1) National statistics' disaggregated data for forest areas and forest dwellers. 2 dimensions of measurements are proposed: A national measurement based on the typology of ejidos and communities and the measurement generated through independent surveys.

R3(I1) To be determined during field testing phase as part of the DPL
(I3) No information provided
(I4) No information provided

R4 (I1)Information to be gotten from national M&E system

NB National M&E systems are identified as the data source for all the indicators, hinting that the information will be collected from established national mechanisms that routinely capture this data and then disaggregated for the relevant project area. **(Update- This can be done in two parts: One is the M&E made by CONAFOR to its Programs, and the other will be the M&E developed by Financiera Rural to Project 3.)**

6. Are there baselines available for the indicators measuring the investment plan results?

R1(I1) to be determined during MRV system deployment
(I2) to be determined during MRV system deployment
(I3) and (I4 to be determined during MRV system deployment

R2 (I1) to be determined during field testing phase

R3(I1), , (I3), (I4) to be determined

R4 (I1) 0

7. How is M&E work funded? Please give details of the type of planned M&E work and proposed funding for it.

M&E will draw on national M&E systems whenever possible, particularly for carbon measurements and evaluation of biodiversity conservation co-benefits. Under project 1, Capacity building for sustainable forest landscapes management (now a component under the Mexico's Forests and Climate project), financing is being set aside to enable "monitoring results and strategic assessment of the Forest Investment Plan, including participatory mechanisms, documentation, and dissemination of experiences."

CONAFOR's M&E System is expected to cover three areas of performance: interventions, monitoring and evaluation. As of 2012, it was conducted the first National Beneficiaries Survey, which will draw the baselines for indicators of socioeconomic monitoring. Funds of the CONAFOR M&E System come from Federal Resources and with FIP resources.

Also, within Project 3 of the FIP, there is an amount of US $100,000.00 from the FIP Grant, dedicated to Monitoring and Evaluation. The project will be monitored through semiannual reports prepared by the executing agency, measuring progress against the indicators in the Results Matrix. The monitoring will be supported by the Technical Assistance Facility, which will provide the information regarding the accomplishments of the Expected Results.

8. Which entity is responsible for M&E and who does it report to?

The monitoring and evaluation aspects relies on national systems and as such the data collection will be done by government agencies at national and local levels either specifically for FIP purposes or as part of their routine operations.
In the FIP directly, Local Technical Agents (ATLs) and the Local Development Agents (ADLs) that are expected to provide on the ground technical assistance and follow up for deployed investments for local and indigenous communities in the Early Action REDD+ Areas.
Also, routine information relevant to FIP operations is collected by agencies such as CONAFOR (National Forest Commission) and the CONEVAL (Council for Evaluation of Social Development Policy).

Annexes*

Annex 1: Summary of Country Investment Plan
Annex 2: Logic model
Annex 3: Results Framework
Annex 4: Overview (text or figure) of how FIP M&E is integrated into existing national monitoring system

*Available on request