



## **CI-GEF PROJECT AGENCY**

# **MONITORING POLICY FOR GEF-FUNDED PROJECTS**



**Version 02**

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## DOCUMENT LOG AND CHANGE RECORD

Version	Date	Changes/Comments	Author(s)
01	October 2013	Monitoring and Evaluation policies submitted as part of CI-GEF Accreditation Package	Madeleine Bottrill, with inputs from Orissa Samaroo and Lilian Spijkerman
02	June 2020	Separated Monitoring Policy from Evaluation Policy, in line with the 2019 GEF policies on Monitoring and Evaluation. This version also expands on the monitoring of CI-GEF projects and portfolio.	Orissa Samaroo, Susana Escudero and Free de Koning

## TABLE OF CONTENTS

I. CONTEXT .....	4
II. SCOPE AND PURPOSE OF THE CI-GEF PROJECT AGENCY MONITORING POLICY.....	4
III. DEFINITION AND PURPOSE OF MONITORING AND EVALUATION .....	4
<u>Monitoring</u> .....	4
IV. MONITORING AND EVALUATION STANDARDS, PRINCIPLES AND NORMS.....	5
VI. INSTITUTIONAL FRAMEWORK, ROLES, AND RESPONSIBILITIES .....	5
VII. CI-GEF PROJECT AND PROGRAM LEVEL MONITORING REQUIREMENTS.....	6
<u>Minimum Requirement 1: Design of M&amp;E Plans</u> .....	9
<u>Minimum Requirement 2: Application of M&amp;E Plans</u> .....	10
VIII. CI-GEF MONITORING AT THE PORTFOLIO LEVEL.....	11

## I. CONTEXT

1. Conservation International (CI) was accredited as a Global Environment Facility (GEF) Project Agency in November 2013. To comply with the accreditation process, CI developed a Monitoring and Evaluation Policy in line with the accreditation requirements. Given the change in GEF policies on Monitoring<sup>1</sup> and Evaluation<sup>2</sup>, the policies on Monitoring and Evaluation have been separated into two distinct policies.

## II. SCOPE AND PURPOSE OF THE CI-GEF PROJECT AGENCY MONITORING POLICY

2. This policy establishes standards and guidelines for promoting accountability, organizational learning, and advancing knowledge within the organization through evidence-based results reporting. It is focused on project-level monitoring and includes portfolio-level monitoring of CI-GEF projects.
3. This policy informs Executing Agencies of GEF-funded projects, partners, and stakeholders about:
  - The purposes of monitoring;
  - Monitoring requirements; and
  - Roles and responsibilities in monitoring CI-GEF projects

## III. DEFINITION AND PURPOSE OF MONITORING AND EVALUATION

### **Monitoring**

4. **Definition:** The CI-GEF Project Agency applies the following definition of monitoring: *“A continuous or periodic function that uses systematic collection of data, qualitative and quantitative, for the purposes of keeping activities on track. It is first and foremost a management instrument.”*
5. **Purpose:** Monitoring provides early information on progress, or lack thereof, toward achieving intended objectives and outcomes. By tracking progress, monitoring helps identify implementation issues that warrant decisions at different management levels, supporting adaptive management. A good monitoring system combines information from various levels in such a way that it provides a comprehensive picture of performance and allows periodic reports to management that facilitate decision making and learning.

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<sup>1</sup> [https://www.thegef.org/sites/default/files/documents/gef\\_monitoring\\_policy\\_2019.pdf](https://www.thegef.org/sites/default/files/documents/gef_monitoring_policy_2019.pdf)

<sup>2</sup> [https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-me-policy-2019\\_2.pdf](https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-me-policy-2019_2.pdf)

#### IV. MONITORING AND EVALUATION STANDARDS, PRINCIPLES AND NORMS

6. In line with the 2019 GEF Monitoring Policy<sup>3</sup>, the following principles guide monitoring of CI-GEF Projects:
7. **Data Quality and Standards:** Monitoring is based on reliable data and observations. Monitoring reports consider the consistency and reliability of the data and observations used to inform findings and their interpretation, as well as lessons learned. Reliability is assured through standard protocols, including the instruments, procedures, methodologies, and analysis used to collect and interpret information.
8. **Relevance:** Monitoring serves the needs of its intended users. Monitoring aims to be relevant, timely, and accessible, with a complete and balanced presentation of evidence, findings, conclusions, recommendations, and limitations.
9. **Stakeholder Engagement:** Monitoring is based on meaningful Stakeholder Engagement, supported by the timely dissemination of relevant information in an accessible form. In particular, GEF Operational Focal Points are key Stakeholders in Monitoring throughout the project and program cycles.
10. **Ethics:** Monitoring is carried out in accordance with pre-defined ethical standards and accountability systems in such a way that conflicts of interest are avoided, suspected violations are reported and investigated, and with due protection of the confidentiality and identity of individuals or groups that provide information in confidence.

#### VI. INSTITUTIONAL FRAMEWORK, ROLES, AND RESPONSIBILITIES

11. **CI-GEF Project Agency:** Conservation International, as a GEF Project Agency, is responsible for oversight and monitoring of CI's GEF portfolio and for reporting the Project Agency's project, program and portfolio progress, results, learning, and lessons. For Midterm Reviews and Terminal Evaluations, CI-GEF Project Agency will notify the General Counsel's Office (GCO) to begin the evaluation process. Recognizing that evaluations need to be independent, the CI-GEF Project Agency will only participate in evaluations as requested by the GCO and the independent consultant conducting the evaluation.
12. **Executing Agencies, Partners, and Interested Parties:** As outlined in the GEF Monitoring and Evaluation Policy 2010<sup>4</sup>, the following groups should be included in evaluations, depending on the project and their role in the identified project: national project or program executing agencies; groups contracted to conduct activities at various stages of the project or program; and other civil

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<sup>3</sup> [https://www.thegef.org/sites/default/files/documents/gef\\_monitoring\\_policy\\_2019.pdf](https://www.thegef.org/sites/default/files/documents/gef_monitoring_policy_2019.pdf)

<sup>4</sup> GEF Monitoring and Evaluation Policy 2010  
[https://www.thegef.org/gef/sites/thegef.org/files/documents/ME\\_Policy\\_2010.pdf](https://www.thegef.org/gef/sites/thegef.org/files/documents/ME_Policy_2010.pdf)

society groups including local community members who may have an interest in the project or program, who are living in the project or program area, or who are dependent on the natural resources of the project or program area for part of their livelihoods or in times of stress.

13. **Key Roles and Responsibilities:** Table 1, below, summarizes the roles and responsibilities of various stakeholders in the GEF network in relation to monitoring and evaluation.

**Table 1. Key Roles and Responsibilities in Monitoring for GEF-funded Projects**

ENTITY	KEY ROLES AND RESPONSIBILITIES IN MONITORING
<b>CI-GEF Project Agency</b>	<ul style="list-style-type: none"> <li>• Develop monitoring guidelines for projects</li> <li>• Monitor the CI-GEF Project Agency GEF portfolio</li> <li>• Report CI’s project, program, and portfolio progress, results, learning, and lessons to the GEF</li> <li>• Ensure monitoring and at the project and program levels</li> <li>• Oversee adaptive management of project and program implementation</li> <li>• Provide feedback on monitoring outputs (i.e. quarterly and annual progress and financial reports, MTR reports, PIRs, Core Indicators/Tracking Tools)</li> <li>• Support knowledge sharing through dissemination of lessons and good practices from CI’s GEF portfolio and within the GEF network</li> <li>• Involve national partners, and share project monitoring information at the national level</li> </ul>
<b>Executing Agency</b>	<ul style="list-style-type: none"> <li>• Develop project monitoring and evaluation plan and budget</li> <li>• Identify project performance indicators and baselines</li> <li>• Implement relevant monitoring activities, and report monitoring results</li> <li>• Manage data and archiving for evaluation purposes</li> <li>• Provide data and input to evaluation process</li> <li>• Support logistical arrangements necessary for monitoring</li> </ul>
<b>GEF Secretariat</b>	<ul style="list-style-type: none"> <li>• Receive monitoring materials and data, such as PIRs, MTRs, Focal Area Tracking Tools/Core Indicators and any required inputs from the CI-GEF Project Agency</li> <li>• Provide policy and guidance on monitoring in the GEF network to GEF agencies</li> </ul>

## VII. CI-GEF PROJECT AND PROGRAM LEVEL MONITORING REQUIREMENTS

14. In addition to the GEF requirements for monitoring, the CI-GEF Project Agency requires specific monitoring and reporting activities during project implementation, such as quarterly progress and financial reporting. These requirements are summarized in Table 2 for the reference of CI-GEF Project Agency, Executing Agencies, and other relevant partners.

**Table 2. CI-GEF Project/Program Monitoring Requirements**

CI-GEF Requirements	Role of CI-GEF Agency	Role of Executing Agency	Deliverables
<b>Project Identification Form</b>			

PIF workplan	CI-GEF reviews and approves the workplan. CI-GEF reviews and clears the deliverables.	EA prepares the PIF workplan following guidance provided by the CI-GEF team.	Finalized Results Framework included in the PIF.  Core Indicators/Global Environmental Benefits.
<b>Project Preparation Grant</b>			
Gantt Chart	CI-GEF reviews and approves the Gantt chart. Checks-in with EA on a monthly basis. Reviews and clears deliverables for the CEO endorsement package.	EA prepares the Gantt Chart that outlines the deliverables needed for the CEO endorsement package. EA updates Gantt chart on a monthly basis.	CEO endorsement package with updated Core Indicators, Results Framework, Project Results Monitoring Plan, and M&E plan.
Financial Report	CI-GEF reviews and approves the quarterly financial report.	EA prepares quarterly financial reports. Reports are due 30 days after the end of each quarter.	Financial Report
<b>Implementation</b>			
Quarterly Financial and Technical Reports	CI-GEF reviews and approves the quarterly financial report.	EA prepares quarterly financial and technical reports. Reports are due 30 days after the end of each quarter.	Annual and Quarterly Reports in CI-GEF template. Quarterly Financial Reports in CI-GEF template.
Annual Budget	CI-GEF reviews and approves annual budget	EA prepares annual budget.	Annual budget in CI-GEF template
Annual Workplan	CI-GEF reviews and approves annual workplan	EA prepares annual workplan.	Annual workplan in CI-GEF template
Project Implementation Report (PIR)	CI-GEF reviews and approves annual Project Implementation Report. CI-GEF sends report to the GEF Secretariat.	EA prepares annual Project Implementation Report.	Annual Project Implementation Report in CI-GEF template
Mid-term Review (MTR)	CI (General Counsel's Office) initiates the procurement process for	EA participates in the Inception Workshop for the MTR and provides	MTR TOR and final Midterm review report

	the Mid-term review approximately half-way through project implementation. CI-GEF participates in Mid-term review through interviews by the independent consultants and sharing documents. CI-GEF provides comments on the MTR.	documents to the independent consultants. EA also informs stakeholders of the MTR timeline.	(to be completed by an independent consultant)
Annual Project Audit	CI-GEF includes Terms of Reference for Annual Audits in all agreements and assures EAs allocate project funds for Annual Audits in the project budget	EA procures Audit Firm, unless otherwise agreed in the Grant Agreement, and provide all the necessary information required.	Annual Audit Report
<b>Project Close-out</b>			
Terminal Evaluation	CI's GCO (General Counsel's Office) initiates the procurement process for the Terminal Evaluation. CI-GEF participates in the Terminal Evaluation process through interviews by the independent consultants and sharing documents. CI-GEF provides comments on the TE report.	EA participates in the Inception Workshop for the MTR and provides documents to the independent consultants. EA also informs stakeholders of the MTR timeline.	Terminal Evaluation TOR and Final Terminal Evaluation report (to be completed by independent consultant)
Final Knowledge Management Products			
Equipment Transfer/Disposition Plan	CI-GEF Reviews Equipment purchased with Project Funds and requests documentation on agreements with the Government	EA prepares the Equipment Transfer/Disposition Plan and shares with the Government	Final Donation Agreement/Letter confirming transfer or retention of Equipment

Final Financial Report	CI-GEF reviews and approves the Final Financial Report.	EA prepares Final Financial Report. Reports are due 60 days following the completion of Activities	Final Financial Report template. Quarterly Financial Report template.
Last Annual Project Audit	CI-GEF includes Terms of Reference for Annual Audits in all agreements and assures EAs allocate Project Funds for Annual Audits in the Project budget	EA procures Audit Firm, unless otherwise agreed in the Grant Agreement, and provide all the necessary information required.	Last Annual Audit Report

15. The Monitoring and Evaluation plan during the PPG phase is a critical aspect of ensuring compliance during implementation. Therefore, there are basic requirements to guide the development and implementation of M&E plans.

**Minimum Requirement 1: Design of M&E Plans**

16. All projects and programs will include a concrete and fully budgeted Monitoring and Evaluation (M&E) plan by the time of CEO endorsement for full-size projects and CEO approval for medium-size projects. Project results frameworks should align, where appropriate, to the GEF’s focal area results frameworks. The M&E plan will contain the following as a minimum:

- Specific, Measurable, Attainable, Realistic, and Timely (SMART) indicators for results and implementation linked appropriately to the focal area results frameworks; additional indicators that can deliver reliable and valid information to management may also be identified in the M&E plan.
- Baseline for the project or program with a description of the problem to be addressed, including indicator data or, if major baseline indicators are not identified, an alternative plan for addressing this by CEO endorsement.
- Identification of reviews and evaluations that will be undertaken, including midterm reviews and terminal evaluations.
- Organizational set-up and budgets for M&E.

17. The CI-GEF Project Managers review and approve all projects and programs prior to submission to the GEF for approval to ensure that they meet the above minimum requirements, including the use of indicators and targets that align with focal area objectives and indicators.

18. To support implementation of project M&E, the M&E plans should include activities to monitor project indicators, core indicators, undertake monitoring reports, and complete midterm review and final evaluation reports.

19. A budgeted M&E plan is distinct from the project management cost budget. A fully outlined and budgeted M&E plan must be included at the time of submission for CEO Endorsement. A separate budget for what will be spent on M&E should be provided in the CEO Endorsement document.
20. Examples of activities covered include:
- Inception workshop;
  - Tracking tool/core indicators measurement, monitoring of Global Environmental Benefits (GEBs), and any associated monitoring expenses;
  - Monitoring of all project indicators,
  - Periodic monitoring reports;
  - Independent external midterm review; and
  - Independent external terminal evaluation.
21. Activities not covered under the M&E budget, and which should be considered part of project management costs:
- Oversight activities on the implementation of a project;
  - Regular progress reporting of the project to the CI-GEF Project Agency;
  - Consultation with project stakeholders; and
  - Financial audit for the project.
22. The technical reports for specific technical components should be part of the project component cost. It should not be charged as an M&E item, nor should it be charged to management costs.
23. Other activities not covered in the M&E budget, but are functions of GEF Agencies<sup>5</sup> include the following:
- All activities related to the performance of project cycle management services by a GEF Agency which includes identification, preparation, appraisal, and supervision of projects;
  - A review of the mid-term review and terminal evaluation reports that are prepared by an independent consultant hired by the government; and
  - Quality control and review of tracking tools/core indicators;

**Minimum Requirement 2: Application of M&E Plans**

24. Project and program monitoring and supervision will include implementation of the M&E plan, comprising the following:
- SMART indicators for implementation actively used;
  - SMART indicators for results actively measure, or if not, a reasonable explanation provided;
  - The baseline for the project fully established and data applied to review progress, and evaluations are undertaken as planned;

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<sup>5</sup> The GEF Agency fee should cover all functions performed by a GEF Agency that involve project cycle management services.

- The organizational set-up for M&E is operational and its budget is spent as planned.

### **VIII. CI-GEF MONITORING AT THE PORTFOLIO LEVEL**

At the portfolio level, the CI-GEF Project Agency seeks to measure performance and progress in relation to three overarching questions:

1. What contribution are Agency-implemented projects making to Global Environmental Benefits/Core Indicators?;
2. How efficient and effective is CI as a Project Agency of the GEF?; and
3. Is CI meeting its obligations to develop inclusive projects and comply with environmental and social safeguards?

This monitoring framework is divided into three categories corresponding to each of the questions above. The three categories are:

4. Contributions to the Generation of Global Environmental Benefits
5. Agency Efficiency and Effectiveness, and
6. Safeguards Compliance

Category sub-divisions reflect the CI-GEF Agency's Strategic Results Framework priorities. Individual indicators closely reflect overall GEF priorities as represented in the GEF Corporate Scorecard and GEF indicators for specific work programs.

The framework has multiple indicators selected to provide data about the impact, effectiveness, and progress of the CI-GEF Agency. The CI-GEF Agency plans to report to CI on all indicators on an annual basis, while monitoring selected indicators more frequently. The indicators are included in an annex.

# Annex 1

## CI-GEF AGENCY PERFORMANCE SCORECARD (template)

### 1. CONTRIBUTIONS TO THE GENERATION OF GLOBAL ENVIRONMENTAL BENEFITS

The table below shows the expected results of approved projects and programs in GEF-5, GEF-6, GEF-7, and Agency portfolio actuals as of XXX date

INDICATORS	GEF-5 Target	GEF-6 Target	GEF-7 Target	Total Target	% Delivered
<b>A. IMPROVING NATURAL CAPITAL CONSERVATION AND GOVERNANCE</b>					
1. Hectares of existing terrestrial protected areas with improved management for protecting globally threatened species					
2. Hectares of new terrestrial protected areas providing habitat for globally threatened species					
3. Hectares of terrestrial natural habitats outside protected areas with improved management for protecting globally threatened species					
4. Hectares of existing coastal and marine protected areas with improved management for protecting globally threatened species					

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5. Hectares of new coastal and marine protected areas providing habitat for globally threatened species

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6. Hectares of coastal and marine natural habitats outside protected areas with improved management for protecting globally threatened species

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7. Number of globally threatened species better conserved (through indicators 1, 2, 3, 4, 5, 6, 9)

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8. Hectares under sustainable forest management or restoration practices

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**B. IMPROVING SUSTAINABILITY OF PRODUCTION IN ECOSYSTEMS**

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9. Hectares of production landscapes and seascapes that integrate biodiversity conservation and sustainable use into their management

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10. Number of globally over-exploited fisheries under reduced harvest pressure

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**C. ENSURING A SUSTAINABLE FLOW OF ECOSYSTEM SERVICES**

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11. Tons of CO<sub>2</sub>e emissions avoided/sequestered

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12. Number of freshwater basins in which water-food-energy-ecosystem security and conjunctive management of surface and groundwater is taking place

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13. Number of local people benefitted from improved ecosystem service conservation and management

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a. Women

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b. Men

**D. INCREASE IN PHASE-OUT, DISPOSAL  
AND REDUCTION OF RELEASES OF  
POPS, ODS, MERCURY AND OTHER  
CHEMICALS OF GLOBAL CONCERN**

14. Metric tons of mercury reduced

**F. CAPACITY BUILDING**

15. Number of governments that  
participate in Capacity Building for  
Institutional Transparency (CBIT) projects

16. Number of people that receive  
training from Capacity Building for  
Institutional Transparency (CBIT) projects

a. Women

b. Men

17. Number of people that receive  
training/capacity building from CI-GEF  
projects (non-CBIT)

a. Women

b. Men

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## 2. AGENCY EFFICIENCY AND EFFECTIVENESS

The CI-GEF Agency monitors the following indicators to track the efficiency and effectiveness of the agency's operations. The targets are identified in the GEF Corporate Scorecard.

INDICATORS	CI-GEF AGENCY TARGET	GEF-5 (Average)	GEF-6 (Average)	GEF-7 (Average)	PORTFOLIO AVERAGE	RANGE
<b>A. Project Cycle Effectiveness</b>						
18. Average time (months) for projects to be processed between PIF approval by Council and CEO endorsement						
a. MSP						
b. FSP						
<b>B. Disbursement</b>						
19. Average time (months) between CEO endorsement and first disbursement						
a. MSP						
b. FSP						
20. Average time from CEO endorsement to inception workshop						
<b>C. Results-driven Implementation</b>						
21. Percentage of projects that receive moderately satisfactory or higher ratings on progress towards objectives						

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22. Percentage of projects that receive moderately satisfactory or higher ratings on progress towards implementation of outcomes

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23. Percentage of projects that receive moderately satisfactory or higher ratings on progress towards implementation of risk mitigation

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24. Percentage of completed projects with outcome ratings of moderately satisfactory or higher

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**D. Co-financing**

25. Total co-financing leveraged

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26. Ratio of cumulative project co-financing to CI-GEF grants measured at CEO endorsement

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27. Percentage of completed projects that have realized 100% of their promised co-financing

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28. Share of private sector co-financing out of total co-financing

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### 3. SAFEGUARDS COMPLIANCE

The CI-GEF Agency monitors the following indicators developed during the GEF-5 replenishment process. The targets are identified in the GEF Corporate Scorecard.

INDICATORS	CI-GEF AGENCY TARGET	GEF-5 (Average)	GEF-6 (Average)	GEF-7 (Average)	PORTFOLIO AVERAGE	RANGE
<b>A. Reporting</b>						
29. Number of conflict and complaint cases reported to CI's Accountability and Grievance Mechanism						
30. Percentage of conflict and complaint cases reported to CI's Accountability and Grievance Mechanism that has been addressed						
31. Percentage of projects whose project safeguard documents are approved and publicly disclosed within the specified timeframe						
<b>B. Gender</b>						
32. Percentage of projects that achieved at least a moderately satisfactory rating for the implementation of gender mainstreaming plans and actions						
<b>C. Stakeholder Involvement</b>						
33. Percentage of projects that achieved at least a moderately satisfactory rating						

for the implementation of stakeholder engagement plans and actions

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34. Percentage of projects that have triggered the indigenous peoples safeguard and have achieved at least a moderately satisfactory rating for the implementation of indigenous peoples plans and actions, and/or documented the FPIC process

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