



GEF/LDCF.SCCF.9/Inf.5
October 20, 2010

LDCF/SCCF Council Meeting
November 18, 2010

RESULTS-BASED MANAGEMENT FRAMEWORK

FY 2011 Work Plan for Results Based Management (RBM) and Evaluation Under the “Least Developed Countries Fund and the Special Climate Change Fund,”

Background

1. The Council, after reviewing document GEF/LDCF.SCCF.7/4, “*Implementation of Results-Based Management under the Least Developed Countries Fund and the Special Climate Change Fund,*” approved the proposed implementation plan (June 2010) and requested the GEF Secretariat, in collaboration with the GEF Agencies, to proceed as outlined in the document. In addition, Council Members requested that the Secretariat and Evaluation Office include a budget with the implementation plan. The LDCF/SCCF Council approved together both the budget and the RBM implementation plan by mail, following standard LDCF/SCCF Council procedures.

2. As a next step, the Secretariat and the Evaluation Office have prepared a work plan for FY 2011, outlining the concrete actions and tasks planned to undertake the implementation of RBM and Evaluation in accordance with the Council approved RBM documents. The work plan for is divided into four key components:

- *Develop Annual Monitoring Report (AMR) Process*
- *Integrate Data into PMIS*
- *Develop Tools to Enhance Portfolio Monitoring*
- *Develop Knowledge Management Strategy*
- *Develop Evaluation Guidance and Processes*

Component One: Develop Adaptation Annual Progress Report Process

3. As outlined in the *LDCF/SCCF Results-Based Management Framework* (GEF/LDCF.SCCF.6/4), the Annual Monitoring Report (AMR) is designed to provide performance information regarding the overall health of the LDCF and SCCF’s portfolio of active projects. The report will provide an overview of the Funds’ active portfolio of projects, an assessment of portfolio achievements, and progress towards results targets. The LDCF/SCCF does not currently have guidelines developed for the annual reporting process or for project level reporting.

4. *Activities:* The Secretariat will work with the Agencies to develop comprehensive guidelines for the annual reporting process of projects under implementation. Three main reporting elements will be discussed, agreed to, and finalized by the spring of 2011 to ensure that data collection and reporting meets the needs of the Secretariat, Evaluation Office, Agencies, LDCF/SCCF Council, and other stakeholders. The first is to discuss how to achieve timely reporting to Council on the overall LDCF/SCCF portfolios. The Secretariat is proposing a streamlined two-phased approach to monitoring of the portfolio. The initial report will cover the overall health of the portfolio and will come out in the fall. It will be a scoping tool that can identify potential problems, good practices, and areas that need further investigation. The following phase will be to conduct more in-depth data gathering and analysis on the issues identified by the Secretariat as potentially problematic areas requiring greater attention, or areas that can provide learning opportunities about the portfolio.

5. The second reporting element is to finalize the data requested by the GEF Secretariat for the Project Implementation Report (PIR), in collaboration with the Agencies. Preliminary discussions with the Agencies have already taken place on the information needed. The Secretariat will also finalize a template for those Agencies preferring to utilize a standardized form. Finalization will be completed by March 2011.

6. The third element is to finalize the Adaptation Monitoring and Assessment Tool (AMAT). The Secretariat has worked closely with the Adaptation Task Force, STAP, and the EO to complete the tracking tool. The draft version of the AMAT has been distributed to the Agencies for a test application over the next few months. Agencies have been encouraged to submit specific comments on the usefulness and user-friendliness of the AMAT to the Secretariat for AMAT's further refinement.

7. *Outcomes:* Establish and maintain an annual LDCF/SCCF monitoring review process for timely and effective reporting. Issue a detailed guidance document on LDCF/SCCF portfolio monitoring. The guidelines will include information on the two-phased annual monitoring process, an agreed set of data to report through a project implementation report (PIR), and guidance on filling out the AMAT tracking tool.

8. *Timeframe:* By April 2011, the process (guidelines, data requirements/PIR template, and tracking tool) will be finalized.

Component Two: Integrate Data into PMIS

9. Updating and capturing data on the status of projects through the project cycle, as well as information collected through the annual monitoring exercise is critical to the implementation of RBM. Over the course of the next year, the GEF Trust Fund is working to automate data received from Agencies, as part of this process automating information for the LDCF/SCCF will be included.

10. *Activities:* The Secretariat is proposing to open up the database to Agencies to enable direct data input for PIRs and tracking tools. A short proposal on how this will be operationalized will be developed in the coming months and shared for feedback with the Agencies. The Secretariat will work to come to an agreement with Agencies on how to implement the direct data input plan.

11. *Outcomes:* Track and report on portfolio level results more consistently and accurately. Data on results indicators, status of projects, and other portfolio monitoring indicators captured and updated through the GEF PMIS.

12. *Timeframe:* The process will be developed and tested from January through June 2011.

Component Three: Tools to Enhance Portfolio Monitoring

13. The Secretariat has identified several tools it will develop to strengthen its role in portfolio monitoring; these include: portfolio monitoring missions; portfolio level risk assessment; and piloting geographic information systems (GIS) to support M&E.

14. These tools are being developed in coordination the GEF Trust Fund and any methodology developed will integrate the LDCF/SCCF portfolio monitoring needs.

15. *Outcome:* Strengthened portfolio monitoring performed by the Secretariat for the LDCF and SCCF.

Portfolio Monitoring Missions

16. The Secretariat developed an initial process for portfolio learning missions. A generic framework or terms of reference (TOR) has been developed and will be used as a guide in developing mission specific TORs. The TOR will address concrete questions that will guide strategy and implementation processes.

17. An initial pilot mission for adaptation will be taken by March 2011 in order to include it as part of an assessment being conducted through the GEF Trust Fund to determine the effectiveness of the process and the value added of the Secretariat carrying out these missions.

18. *Timeframe:* A strategy and associated budget for how to move forward with portfolio monitoring missions will be developed in coordination with Agencies and presented to the LDCF/SCCF Council at its spring 2011 meeting.

Portfolio Risk Assessment

19. The Secretariat currently receives individual project risk ratings from Agencies through the PIRs. The Secretariat does not however conduct an overall portfolio risk assessment. The Secretariat could conduct such an analysis using the following parameters:

- Implementation performance
- Likelihood of achieving global objectives
- Project effectiveness delays
- Disbursement delays
- Country performance issues

20. Including such an assessment through the AMR would allow the Secretariat to track risk at the portfolio level. The Secretariat is interested in developing a methodology for portfolio risk assessment, which cannot be done by aggregating project risk ratings provided by Agencies through the PIR process.¹

¹ Note that the risk we are discussing is risk as it relates to project implementation/progress not risks associated with climate variability.

21. *Timeframe:* The Secretariat will develop a methodology for conducting a portfolio risk assessment and any associated costs for carrying out this exercise by fall of 2011.

22. *Geographic Information Systems (GIS)*

23. The Secretariat, with support from STAP, organized an expert consultation in January 2010 to explore whether GIS tools would be a cost effective way to improve portfolio monitoring and knowledge management. Independent experts and selected GEF project managers concluded that there were advantages to a well-targeted GIS application, in particular as a cost-effective means for improving results measurement effectiveness and visibility. They also agreed that GIS is an important tool that can support the monitoring and evaluation of the GEF portfolio.

24. The LDCF/SCCF is proposing to work with STAP and the adaptation task force to explore and potentially pilot GIS to enhance portfolio monitoring. GIS consultants would be hired to develop standards and guidance for adaptation. The following steps would be carried out:

- Identify portfolio monitoring questions that can most appropriately be answered with geo-spatial information.
- Identify the data layers available (in the public domain and those that may need to be generated) for both contextual and monitoring baselines.
- Develop technical standards to use GIS and remote sensing to map actions and results. Examine compatibility for storage in the PMIS, and capacity development requirements

25. *Timeframe:* Work on GIS would not begin until the data needs of the current portfolio monitoring tools are established. Consultants would be hired in 2011 to conduct a feasibility analysis and develop a GIS strategy for the LDCF/SCCF.

Component Four: Develop Knowledge Management Strategy

26. The GEF Secretariat will develop in coordination with the Evaluation Office, STAP, and the Agencies a knowledge management strategy that focuses on the development of the following:

- A process for generating, reporting on, and utilizing lessons learned;
- A knowledge management set of products and activities;
- A supporting infrastructure; and
- Systematic coordination with Agency KM mechanism

27. For the LDCF/SCCF, the Secretariat will hire a knowledge management consultant to identify specific knowledge products for adaptation and to review the Adaptation Learning Mechanism (ALM)² and propose how to strengthen and better support adaptation learning within the GEF partnership and beyond.

² GEF-supported Inter-agency Global Knowledge Platform on Climate Change adaptation.

28. *Timeframe:* A review of the ALM will take place from October-December 2010. The review will be utilized to inform the development of a KM strategy, which will be presented at the spring 2011 LDCF/SCCF Council meeting.

Component Five: Evaluation Office

Review of Guidance for Terminal Evaluations

29. Terminal evaluations are the responsibility of GEF Agencies and recipients of GEF grants. It is proposed that all medium and full-sized LDCF/SCCF projects should have a terminal evaluation upon their completion. The Evaluation Office will develop guidelines for TORs to conduct these terminal evaluations including guidelines on the independence of evaluators, issues relevant to the funds, and a rating system for selected criteria (i.e., outcomes, risks to sustainability, M&E Systems). Although most projects under these funds will not close for at least 3 or 4 years it is important that project implementers are aware of the GEF requirements regarding project completion from the very beginning. The Evaluation Office will review all terminal evaluations, once they become available, and report to the LDCF/SCCF Council on an annual basis.

30. *Timeframe:* Guidelines for terminal evaluation TORs will be developed by the fall 2011 LDCF/SCCF Council meeting.

Process and Thematic Evaluations

31. It is proposed that two evaluations are conducted within the next 10 months - to be delivered for the November 2011 Council meeting. Firstly, given that the LDCF was recently evaluated it is proposed to conduct an evaluation of the SCCF supported activities which will include an assessment of the SCCF processes as well as an evaluation of its achievements to date. Secondly, given the innovative nature of these funds and the need from the global community of practitioners at large, the Evaluation Office will propose to conduct an assessment of practices for developing M&E systems in adaptation, baselines and indicators, from within and outside the GEF. This latter activity will be conducted in collaboration with the activities of the community of practices that has been established as a follow up of the International Conference on Climate Change and Development organized in Alexandria, Egypt, in May 2008.

32. *Timeframe:* Evaluations will be presented at the fall 2011 LDCF/SCCF Council meeting.

SUMMARY

33. The current work plan proposed contains five major components. The table below presents a summary of the main components, budget implication, and timeframe.

Summary Table:

Component	Deadline
1. Annual Monitoring Review Process GEF-5	Spring 2011
2. Integration into PMIS (piloting Agencies' direct input into database)	End of 2011
3. Tools to Enhance Portfolio Monitoring <ol style="list-style-type: none">a. Portfolio Monitoring Missionsb. Portfolio Risk Assessmentc. GIS to Support M&E	January 2011 Fall 2011 Fall 2011
4. Knowledge Management Strategy	Spring 2011
5. Evaluation Office	Fall 2011