
GOVERNMENT OF THE
FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

CLIMATE RESILIENT GREEN ECONOMY (CRGE)
FACILITY

MONITORING AND EVALUATION SYSTEM MANUAL



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ABOUT THIS MANUAL

The Government of Ethiopia's Climate Resilient Green Economy (CRGE) Strategy outlines the country's commitment to economic growth that is carbon neutral and resilient to climate shocks. Among other actions, the Government has established a CRGE Facility. This Facility mobilizes and allocates climate finance, coordinates stakeholders and unlocks capital for implementation of programmes and projects that contribute to the CRGE vision.

This manual presents the monitoring and evaluation (M&E) system for the CRGE Facility and related requirements for monitoring, reporting and evaluation. All CRGE Facility-funded programmes and projects must meet the requirements it sets out. The guidance contained in this manual will help Implementing and Executing Entities comply with such M&E requirements. Consistent with national procedures and international good practice, the M&E system comprises six components: (1) strategy and objectives, (2) performance indicators, (3) monitoring & reporting, (4) evaluation, (5) roles and responsibilities and (6) maintaining the M&E system. Readers should become familiar with all six components.

This manual is an evergreen document. Delivery on the CRGE Strategy is in early stages and results from Fast Track Investments should inform adjustments to the M&E system and to this manual. Additionally, the transformative vision set out in the CRGE Strategy demands an M&E system that is suitably robust and capable of tracking meaningful progress toward development beyond "business-as-usual". Experiences accrued from the use of performance indicators introduced to capture climate resilient and low carbon development and from responding to reporting requirements should inform subsequent revisions to the M&E system and to this manual.

ACRONYMS

ACCRA	Africa Climate Change Resilience Alliance
BoFED	Bureau of Finance and Economic Development
BoPED	Bureau of Planning and Economic Development
CRGE	Climate Resilient Green Economy
CR	Climate Resilient
CSA	Central Statistical Agency
EE	Executing Entity
GDP	Gross Domestic Product
GE	Green Economy
GHG	Greenhouse Gas
GTP	Growth and Transformation Plan
IE	Implementing Entity
M&E	Monitoring and Evaluation
MC	Management Committee
MEF	Ministry of Environment and Forest
MoA	Ministry of Agriculture
MoFED	Ministry of Finance and Economic Development
Mol	Ministry of Industry
MoT	Ministry of Transport
MOU	Memorandum of Understanding
MUHCo	Ministry of Urban Development, Housing and Construction
MoWIE	Ministry of Water, Irrigation and Energy
MPTF	(UNDP's) Multi-Partner Trust Fund
MRV	Measurement, Reporting and Verification
NPC	National Planning Commission
SLMP	Sustainable Land Management Programme
SMART	Specific, Measurable, Achievable, Replicable / Relevant and Time-bound / available in a Timely manner
SRAP	Sector Reduction Action Plan
SRM	Sector Reduction Mechanism
TWG	Technical Working Group
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Programme
WOFED	Woreda Office of Finance and Economic Development

SECTION 1: INTRODUCTION

1.1. Introduction to M&E and the CRGE Facility

The Government of Ethiopia's Climate Resilient Green Economy (CRGE) Strategy articulates the country's vision to build a middle-income climate resilient green economy by 2025 through zero net carbon growth. Climate finance is instrumental to turning this vision into reality and so the Government has created the CRGE Facility.¹ Staffed by the Ministry of Finance and Economic Development (MoFED) and the Ministry of Environment and Forest (MEF), the

Take-home messages:

- Monitoring and evaluation (M&E) is a key management and implementation tool for activities funded through the CRGE Facility.
- This manual is for Implementing and Executing Entities. The aim is to help understand the CRGE Facility M&E system and meet related requirements.

CRGE Facility is responsible for:²

- Helping to attract and secure funding that can be allocated to CRGE actions;
- Guiding and advising parties interested in submitting Sector Reduction Action Plans and investment proposals for funding;
- Helping determine the optimum allocation of available funds to approved actions;
- Monitoring, evaluating, verifying and reporting on the results achieved by funded actions; and
- Providing fiduciary assurance to the providers of finance.

Monitoring and evaluation (M&E) is a core responsibility of the CRGE Facility and is essential to ensuring Ethiopia meets its CRGE vision. It's only through transparent and systematic data collection, analysis and reporting on the results of CRGE actions that the country will be able to track, for example, whether the economy is protected from the negative impacts of climate change and whether economic growth occurs without increasing carbon emissions. In addition to showing accountability over results, the diligent practice of M&E supplies information to foster learning and improve the quality of decisions at various levels (project, programme and CRGE Facility-level).

M&E is one of several implementation and management tools that support operations of the CRGE Facility. Others include:

- Communications Strategy
- CRGE Facility Operations Manual
- CRGE Registry
- Environmental and Social Safeguards Framework
- Integrated Resource Management Framework
- National Capacity Building Programme
- National Measurement, Reporting and Verification (MRV) System pertaining to reductions in greenhouse gas (GHG) emissions
- Risk Management Policies

Confusion can exist regarding the differences between planning, monitoring, reporting and evaluation. And, indeed, they are mutually-reinforcing activities, as explained in Box 1. Readers can also consult Figure 4 in the CRGE Facility Operations Manual to understand where M&E fits into the CRGE Facility's overall workflow.

Box 1: Understanding the relationship between planning, monitoring, reporting and evaluation

- Without proper planning and clear articulation of intended results and objectives, it is not clear what should be monitored and how; hence monitoring cannot be done well.
- Without careful monitoring, including setting baselines, the necessary data are not collected; hence learning cannot be achieved and evaluation cannot be done well.
- Monitoring is necessary, but not sufficient, for evaluation.
- Reporting is necessary, but not sufficient, for monitoring.
- Reporting should not be the prompt for monitoring activities but rather the output of monitoring activities.
- Monitoring facilitates evaluation, but evaluation uses additional new data collection and different frameworks for analysis, as objectively as possible, the relevance, effectiveness, efficiency and impact of activities against intended results and objectives.
- Reporting records both the process and the outcome of monitoring and evaluation activities, and documents how learning has been used to update and revise planning activities.
- Monitoring and evaluation of a programme often lead to changes in programme plans as a result of learning. This may mean further changing or modifying data collection for monitoring purposes. Documenting changes as a result of learning are also part of the reporting process.

Source: Adapted from the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, 2009.

1.2. Intended Use of this Manual

This manual presents the M&E system for the CRGE Facility. It provides direction so that organizations implementing programmes and projects with Facility funding know what information to collect, how to report and use it in a way that advances national CRGE objectives. The target audience for this manual includes Implementing and Executing Entities.³

- **Implementing Entities (IEs)** comprise the Ministry of Agriculture, Ministry of Water and Energy, Ministry of Transport, Ministry of Industry, Ministry of Urban Development, Housing and Construction, Ministry of Health, the nine Regional States and the two City Administrations.⁴ IEs develop sector reduction action plans and proposals in response to earmarked climate finance.
- **Executing Entities (EEs)** comprise government institutions at woreda level, private-sector enterprises, parastatals, micro-green enterprises, community associations, non-governmental organizations, research organizations, professional societies, academic institutions, consultancy firms, financial institutions and insurance companies. EEs help prepare proposals for concrete actions and implement approved ones. This manual, therefore, focuses on enabling the necessary links between project and programme activities and the outcomes and impact the CRGE Facility intends to achieve.

This manual does not include other aspects of M&E, such as monitoring and reporting requirements on the performance of the CRGE Facility itself or the Facility's indicators of operational effectiveness.⁵ Neither is it a step-by-step guide for every CRGE Facility M&E activity, given the scope, scale and diversity of actions contemplated under the CRGE umbrella.

1.3. Goals, Principles and Components of the CRGE Facility M&E System

The CRGE Facility M&E system's goal is to generate information and evidence on gains in climate resilience and low-carbon economic growth resulting from Facility funding. Specifically, the M&E system described in this document aims to supply information to:

- Assist with planning of CRGE activities at various levels of operations;
- Assess the relevance, effectiveness, efficiency, sustainability and likely impact of interventions funded by the CRGE Facility;
- Identify improvements to the relevance, effectiveness, efficiency, sustainability and likely impact of interventions funded by the CRGE Facility;
- Communicate to decision makers, the public and to contributors to the CRGE Facility on implementation successes and challenges;
- Contribute to sectoral reporting to the National Planning Commission; and,
- Contribute to global learning to support climate-resilient green growth.

M&E in this context must be relevant, transparent and promote openness. Relevant so as to generate robust information that supports decision-making without presenting an undue burden on implementing organizations. Transparent such that provisions and procedures are accessible to implementing organizations, Facility staff and partners at all levels. Information on the results of facility-financed activities should be accessible to beneficiaries, contributors to the CRGE Facility and the Ethiopian public overall.

Consistent with national procedures and international good practice, the CRGE Facility M&E system comprises six components:⁶

- | | |
|--|-------------------------|
| • Strategy and objectives in the form of a CRGE Strategic Outcome Map | <i>What</i> |
| • Results and performance indicators in a CRGE Facility Results Matrix | |
| • Monitoring & reporting activities | <i>How</i> |
| • Evaluation activities | |
| • Roles and responsibilities | <i>Who</i> |
| • M&E system maintenance via continuous improvement | <i>What next</i> |

The next six sections of this manual elaborate on each component.

SECTION 2: STRATEGY AND OBJECTIVES

2.1. Scope of the CRGE Facility M&E System

All programmes and projects funded through the CRGE Facility must be monitored systematically, and evaluated during or after implementation, with periodic reporting of results. Requirements for monitoring and evaluation are at three levels.

Take home messages:

- An outcome map describing strategic, national-level CRGE objectives, as well as finance and other enabling conditions has been developed.
- Implementing and Executing Entities should consult this outcome map in developing M&E plans for CRGE programmes / projects.

(1) Facility-level results: comprising (a) operational results of the Facility itself and (b) results across a portfolio of CRGE Facility investments. The CRGE Facility Secretariat tracks the former; the latter derive from aggregate project / programme-level results.

(2) CRGE priority-sector results: tracked by Implementing Entities, and consisting of (a)

aggregate results of all Facility-funded activities for that sector and (b) assessments of government systems and capacities to implement CRGE actions. **(3) Results at the Executing-Entity level:** comprising results from projects / programmes financed by the CRGE Facility and implemented in woredas.

The M&E system and guidance in this document pertains to (1b), (2a), (2b) and (3).⁷ CRGE activities that help meet Ethiopia's CRGE objectives but are not financed through the CRGE Facility are outside the scope of this document.⁸

2.2. Links to Other M&E Systems

The CRGE Facility M&E system operates in the context of other M&E systems and it's worth illustrating the links across them. Table 1 highlights examples of those other systems and their relevance to CRGE Facility M&E.

Table 1: M&E systems in Ethiopia that relate to the CRGE Facility M&E system

Example	Description and Link to CRGE Facility M&E
Growth and Transformation Plan (GTP) II	A national M&E system (see Appendix 2) is in place to track implementation of Ethiopia's five-year development plan, GTPII (2015/2016 to 2019/2020). Because progress toward CRGE objectives entails a new model of economic growth, delivery on GTPII and the CRGE Strategy should closely align. Ideally, GTPII monitoring and reporting systems would track national results from implementation of the CRGE Strategy (including from both Facility-financed and non-Facility financed actions). This could be achieved by adopting a common set of indicators across GTPII and CRGE Facility M&E systems. ⁹
Measurement, Reporting and Verification (MRV) systems	Development of national, sectoral MRV systems is underway. MRV activities are a pre-requisite for monitoring sectoral emissions and emission reductions under the CRGE Strategy and Facility investments. MRV systems are an important input to sectoral, regional and Facility M&E systems, but they are limited to monitoring emissions and emission reductions. Sectoral and Facility M&E systems capture CRGE results beyond emissions reductions.
Sectoral CRGE M&E systems	CRGE Fast Track Investments include development of sector-specific MRV and M&E systems for some sectors. The CRGE Facility M&E system outlines national, high-level results for sectors. Sector-specific M&E systems should detail outputs and activities but must also demonstrate alignment with these national-level results.

2.3. CRGE Strategy and Objectives

Taken together, the CRGE Strategy, which defines green economy objectives, and climate resilience strategies covering agriculture, forests, water, energy, etc. outline a hierarchy of objectives for CRGE Facility-funded activities. Based on consultations with the Technical Working Group, comprised to representatives from sectors, development partners, and other stakeholders (see Appendix 1), high-level result matrix with refined objectives for CRGE initiatives were developed¹⁰:

Overall objective / Impact: The overall objective that CRGE initiatives is to become a middle-income country by 2025, through economic growth that is resilient to climate change and results in no increase in carbon emissions.

CRGE pillars / Sector impacts: CRGE pillars or sectoral impacts contribute to the overall objective. They are as follows:

- | | |
|-----------|--|
| Pillar 1: | Agricultural systems strengthened using low carbon, climate resilient practices |
| Pillar 2: | Forests and other natural resources protected and sustainably managed for their social, economic and ecosystem services |
| Pillar 3: | Improved energy efficiency and electricity generation from diversified, climate resilient renewable sources |
| Pillar 4: | Green cities, buildings, transportation and industrial systems developed and safeguarded against climate risks |
| Pillar 5: | Climate resilient and green economic growth is socially equitable and inclusive, addressing underlying drivers of vulnerability to climate risks |

Each pillar, in turn, contains sub-pillars or sector outcomes.

To meet this range of objectives several enabling conditions, individually or in combination, are necessary – the so-called “enabling environment” for progress toward CRGE objectives. These enablers are:

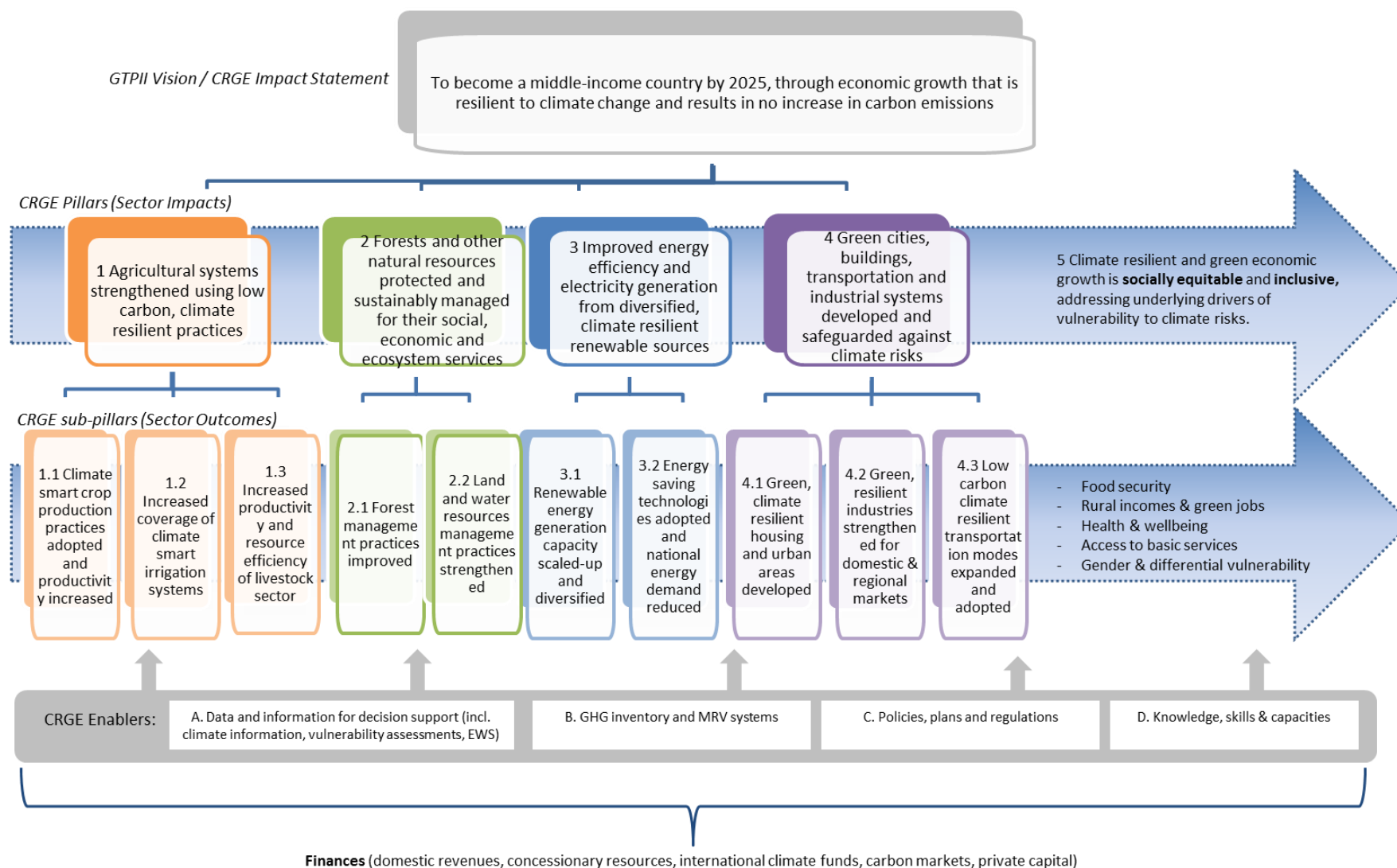
- Data and information for decision support (including climate information, vulnerability assessments and early-warning systems)
- The greenhouse gas inventory and Measurement, Reporting & Verification (MRV) systems
- Policies, plans and regulations
- Knowledge, skills & capacities

Because of the nature of the CRGE Facility, finances are a key input for delivering on all of this. Sources of finance are domestic revenues, concessionary resources, international climate funds, carbon markets and private capital.

It’s important for IEs (as well as EEs) to understand the range of objectives and the role of climate finance and enablers in meeting objectives at different levels. Figure 1 contains the CRGE Strategic Outcome Map. It summarizes the overall CRGE objective and the horizontal and vertical connections across objectives and domains of change.

Section 3 of this report expands this outcome map into a CRGE Results Matrix, the key performance indicators related to it and requirements for IEs and EEs.

Figure 1: CRGE Strategic Outcome Map



At a high level, the CRGE Strategic Outcome Map describes a process of socio-economic change. Its implicit Theory of Change is as follows¹¹:

- Ethiopia can grow a carbon neutral economy resilient to climate shocks if finance is mobilized and the right data, information, policy environment and capacity are in place to support transformations in agriculture, natural resources management, energy, urban management and industry.
- Green and climate resilient growth is only successful if social outcomes like gender equality and access to basic services are addressed alongside economic and environmental objectives.

Key assumptions underlying the Theory of Change pertain to the CRGE enablers, the capacity of government and partners to deliver timely interventions and Ethiopians' willingness to deviate from business-as-usual development trajectories. With regard to the CRGE enablers specifically, assumptions are that:

- GHG inventories and MRV systems to track both emissions and emissions reductions are developed and made operational;
- Climate data monitoring stations and related data, climate change projections, among other information sources, are available for adaptation planning and decision-making;
- National capacities for results-based management are strengthened; and,
- The policy environment is responsive to climate resilient and green growth, both putting in place incentives for households, business and governments to act and removing disincentives.

SECTION 3: RESULTS MATRIX AND PERFORMANCE INDICATORS

3.1. Results Matrix

The CRGE Facility M&E system rests on a results matrix (see Appendix 3). This results matrix, called the CRGE Facility Portfolio Results Matrix, integrates national and international experience in climate

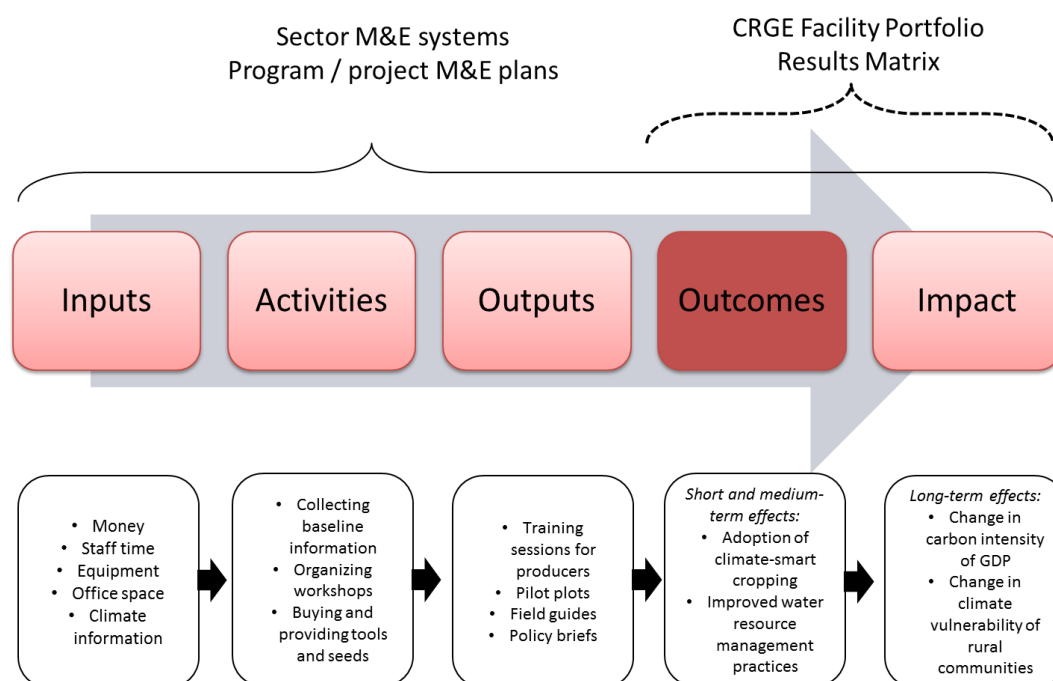
Take home messages:

- The CRGE Facility is responsible for monitoring and reporting on the results of its investment portfolio in meeting CRGE objectives.
- M&E plans for programmes / projects need to align with CRGE Facility M&E.
- Alignment occurs at the outcome level. A common set of indicators has been developed to achieve this alignment efficiently.

change and natural resource management M&E with feedback from consultations with the Technical Working Group, and other stakeholders. The results matrix takes the Strategic Outcome Map from Section 2 one step further by outlining, for each objective: expected results and their corresponding indicators, baseline values, target, data sources and collection methods, collection frequency and a responsible agency. The CRGE Facility Portfolio

Results Matrix is an important reference document for Implementing and Executing Entities' M&E activities.

Understanding the relationship between the results captured by the CRGE Facility Portfolio Results Matrix and by programme / project level M&E plans or sector CRGE M&E systems, where they exist, is essential. Figure 2 below illustrates this relationship. But first, it is vital to present a few reminders on terminology using standard definitions from results-based management. **Impacts** are the long-term effects, the overall objectives, of an intervention. **Outcomes** are short to medium-term effects of an intervention, resulting from, for example, uptake or use of programme / project outputs. **Outputs** are the immediate results of an intervention; they arise as a consequence of programme / project activities. **Activities** are what programme / project implementers do, that is, the tasks carried out to transform inputs into outputs. **Inputs** are the raw materials required to complete activities.

Figure 2. Results captured at the CRGE Facility-level compared to programme / project / sector results

In Figure 2 the dark red block depicts the linkage between the two levels of M&E: outcome-level results. The CRGE Facility Portfolio Results Matrix is a planning and management tool to facilitate tracking of high-level CRGE results – that is, results at the impact and outcome level. In comparison, programme / project M&E plans and sector M&E systems identify the outcomes that they expect to contribute to, based on the programme / project inputs, activities and outputs.

Implementing and Executing Entities must directly integrate outcome-level results (and indicators) from the CRGE Facility Portfolio Results Matrix into their M&E plans for CRGE investments. They also must identify, from a list of four CRGE enablers (seven indicators), the CRGE enablers of most relevance to their programme / project and incorporate these in their M&E plans or sectoral M&E systems.

3.2. Performance Indicators

Performance indicators (and the means to verify them) are a key feature of the CRGE Facility Portfolio Results Matrix. Performance indicators show the type of data needed to measure progress toward CRGE objectives and are the standards used to compare actual results with intended results. Additionally, indicators *“orient and motivate staff towards achieving results, and communicate project achievements to stakeholders”*.¹² The CRGE Facility Portfolio Results Matrix proposed in Appendix 3 contains a set of impact and outcome-level indicators, as well as indicators pertaining to CRGE enablers. Implementing Entities should pay special attention to these last two types of indicators as all CRGE Facility-financed initiatives must adopt, monitor and report on:

- All outcome-level, sectoral indicators (Pillars 1-4) pertinent to the programme / project in question
- Two cross-cutting indicators (Pillar 5), at a minimum
- Progress in advancing the CRGE enablers that the programme / project in question addresses directly

For ease of reference Table 2 and

Table 3 below contain extracts from the CRGE Facility Portfolio Results Matrix, showing the complete set of impact and outcome indicators. Readers are encouraged to consult the full results matrix in Appendix 3, however, as it contains important information about the indicators. This includes technical definitions, original sources (i.e., who has used or is using the indicator) and assumptions about indicators' applicability. The results matrix also contains information on proposed data sources and collection methods, collection frequency and a responsible agency, for each indicator. Implementing Entities, along with programme / project stakeholders, will need to specify baseline and target values for each CRGE Facility-financed initiative. Sections 4 and 5 give guidance on specific aspects of monitoring, reporting and evaluation.

Table 2: Impacts, outcomes and indicators for CRGE Facility Portfolio investments

Impact – Macro-level	Indicator	
	For Ethiopia to become a middle-income country by 2025, through economic growth that is resilient to climate change and results in no increase in carbon emissions	Total national GHG emissions (MT) – disaggregated by sector Total national GHG emission savings (MT) – disaggregated by sector CO2-e emissions per US dollar of GDP (kg / USD) Economic losses as a result of climate sensitive events (USD) OR Number of people affected by climate-related disasters (disaggregated by vulnerable group)
Pillar	Outcome / output	Indicator
1	1.1 Climate smart crop production practices adopted and productivity increased	1.1.1 (Change in) Rainfed crop area under sustainable, climate smart land management practices (ha) – by crop type (private holders only)
		1.1.2 (Change in) Rainfed crop land productivity for major food crops (quintal per hectare) by: Conventional practices; Climate smart practices
	1.2 Increased coverage of climate smart irrigation systems	1.2.1 (Change in) Total crop land under modern, climate smart irrigation systems (ha and %) by type: Medium and large-scale; Small-scale
		1.2.2 (Change in) crop land productivity where modern, climate smart and small-scale irrigation applied (quintal per hectare) for: Major food crops; High value crops
	1.3 Increased productivity and resource efficiency of livestock sector	1.3.1 Emissions of CO2-e per litre milk produced
		1.3.2 Productivity of communal pasture and rangeland (tons/ha) – feed / forage
		1.3.3 (Change in) Number of cattle to number of poultry (ratio)
	2.1 Forest management practices improved	2.1.1 Cumulative area of land covered with forest (ha), disaggregated by: Protected (%); Under improved forest management systems and reduced carbon emissions practices (%)
		2.1.2 Change in household fuelwood consumption (kg)
2	2.2 Land and water resources management practices strengthened	2.2.1 Total area (individual & communal) of land under sustainable, climate smart, land management plans
		2.2.2 Number and type of sustainable water management practice introduced
	3.1 Renewable energy generation capacity scaled-up and diversified	3.1.1 Installed capacity renewable energy, including from solar, wind, geothermal and/or biomass (type, GWh)
	3.2 Increased energy efficiency	3.2.1 (Change in) Total power wastage (%)
3		3.2.2 Annual energy savings – disaggregated by type of energy-saving measure (e.g., light bulb campaign, building design, cook stove initiatives, green fuels, efficient motors, etc.)
	4.1 Green, climate resilient housing and urban areas developed	4.1.1 Total advanced waste disposal (volume/year) for: Solid waste; Liquid waste
		4.1.2 Urban green area per capita (m ² /urban inhabitant)
	4.2 Green, resilient industries strengthened for domestic & regional market	4.2.1 Proportion of industrial facilities reported to be non-compliant with national EIA regulations
		4.2.2 Population exposure to air pollution (%), gender disaggregated
	4.3 Low carbon climate resilient transportation modes expanded and adopted	4.3.1 Total length of low carbon transit network built (km) – disaggregated by type: Bike lanes; Rail; Light rail; Public transport systems; Pedestrian sidewalks

		4.3.2 Household modal share (by transportation type) – disaggregated by female & male-headed households, by type: Walking; Bicycle; Bus; Rail
5	5.1 Food security	5.1.1 Average net number of months of HH food insecurity (#) – disaggregated by female & male-headed households
	5.2 Rural incomes & green jobs	5.2.1 Average value of household assets (%) – disaggregated by female & male-headed households
		5.2.2 Proportion of employment in environmental goods and services sectors (%)
		5.2.3 Number of households reporting a wider variety of livelihood strategies (disaggregated by male and female-headed)
	5.3 Health & well-being	5.3.1 Incidence of climate related disease (# of reported cases per 1,000 population)
	5.4 Access to basic services	5.4.1 Number of women and men with improved access to basic services (%)
		5.4.2 Number of people accessing low emission or improved efficiency energy technologies, disaggregated by: Rural (W/M); Urban (W/M)
		5.4.3 Number of people using low emission transport – disaggregated by women and men
	5.5 Attention to gender & differential vulnerability	5.5.1 Gender sensitivity of CRGE policies, plans, regulations and sector strategies

Table 3: CRGE enablers and their respective indicators

CRGE Enablers	Indicator
A. Data and information for decision support: Increased generation and use of climate information in decision-making	A.1 Evidence of strengthened government capacity to collect, analyze and apply climate information to decision-making
	A.2 Perception of men, women, vulnerable populations, and emergency response agencies of the timeliness, content and reach of early warning systems
	A.3 Number and value of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (e.g. to heat, humidity, wind velocity, floods) – disaggregated by type
B. Greenhouse gas inventory and measurement, reporting and verification (MRV) systems: Strengthened government systems to measure, report and verify GHG emissions and reductions	B.1 Number of sectoral / regional MRV systems designed and operational
C. Policies, plans and regulations: Strengthened government institutional and regulatory systems for green, climate resilient development planning	C.1 Degree of integration/ mainstreaming of climate change in national and sector planning and coordination
D. Knowledge, skills and capacities: Strengthened government capacities to plan, resource and deliver green, climate resilient development results	D.1 Extent to which sectors use improved tools, instruments, strategies and activities to respond to climate variability and climate change
	D.2 National CRGE capacity assessment score (disaggregated by federal, regional, woreda-level)

SECTION 4: MONITORING AND REPORTING

4.1. Introduction to Overall Requirements

Clarifying what types of information need to be collected, analyzed and documented, as in Sections 2 and 3 is an important step. This section covers how the CRGE Facility intends to ensure robust monitoring and reporting. Table 4 lists the activities for which Implementing Entities and the CRGE Facility Secretariat are responsible. It also shows the interdependence among monitoring and reporting at the two levels. For example, the CRGE Facility Secretariat aggregates information in quarterly progress reports for each programme / project to develop a Facility-level quarterly report. The information flow is not always one way, from the IE to the

Take home messages:

- Implementing Entities are responsible for five core monitoring and reporting activities, including developing M&E plans, activity recording, quarterly and annual reports, and an annual learning event.
- Monitoring and reporting activities promote accountability and learning

Facility. Mechanisms for feedback from the Facility to IEs include sharing findings from annual monitoring missions. Note that Section 6 outlines roles and responsibilities among CRGE stakeholders, including for reporting.

Table 4: Monitoring and reporting for CRGE Facility-financed initiatives

Implementing Entities	CRGE Facility
Developing an M&E plan, drawing from GTPII/sector plans • Developing a theory of change • Selecting key indicators • Identifying CRGE enablers to track • Setting baseline values • Selecting target values • Putting it all together	• Developing a portfolio-level M&E plan • Selecting CRGE Facility performance indicators
Activity recording/process documentation	Using the Facility Performance Tracker • Integrating Operational Effectiveness indicators
Quarterly progress report	Quarterly progress report
Annual institutional learning event • Using sectoral scorecards • Using M&E questions	Annual monitoring mission
Annual performance assessment report	Annual CRGE Facility review and report
	Annual review meetings, including a session on learning

A brief description of each core monitoring and reporting activity for Implementing Entities follows. Descriptions include key steps and refer to tools and references that are or will be available to ensure consistency in monitoring and reporting.

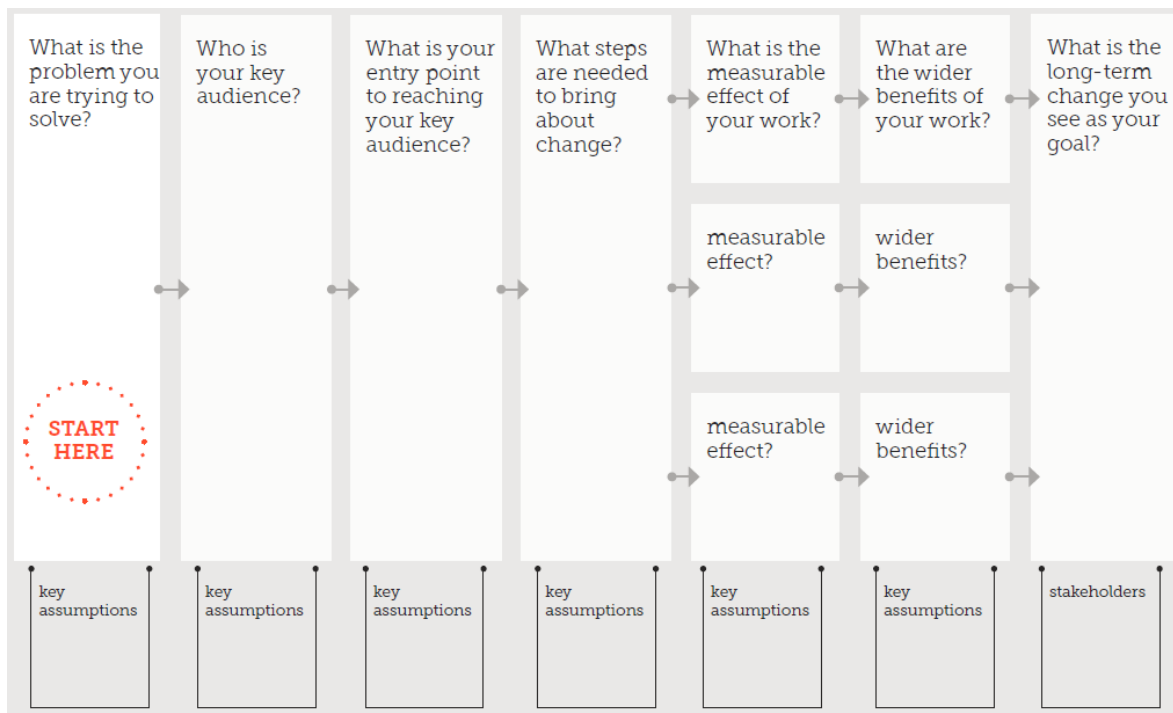
4.2. Developing M&E Plans

Line ministries have M&E systems that contribute to monitoring and reporting on national development goals (i.e., GTPII). M&E plans developed for Facility-funded projects and programmes should draw on these sectoral systems to the extent possible.

Developing a Theory of Change

Just as the CRGE Facility Portfolio Results Matrix builds from a strategic outcome map that outlines a roadmap to achieve social change, developing a theory of change should be a first step in developing a programme / project M&E plan. Developing a theory of change is a way to provide a quick check on the types of indicators that are necessary to track and a reality check on the feasibility of achieving expected outputs and outcomes. Figure 3 below is an example of a template that IEs and EEs can use to guide its development.

Figure 3: Example template to develop your theory of change (Source: DIY Development Impact & You)



Further information and guidance on developing a robust theory of change appears here:

<http://www.theoryofchange.org/library/>

<http://diytoolkit.org/tools/theory-of-change/>

Selecting Key Indicators

Implementing Entities are responsible for selecting the means of observing or measuring programme / project-level performance of CRGE Facility investments. Selecting indicators is part of this. All project / programme proposals or investment plans that Implementing Entities submit to the CRGE Facility must contain performance indicators that are as SMART as possible. That is, indicators should be specific, measurable, available/achievable in a cost-effective way, relevant for the programme / project, and available in a timely manner. Factors to consider in selecting indicators are as follows:

- How well the indicator reflects a result (whether goal, outcome, output) of the programme / project
- How useful the indicator will be for decision-making to improve the programme / project
- Whether data are already being collected to populate the indicator

- Whether directional changes in the value of the indicator are easy to interpret

As outlined in Section 3, Implementing Entities are responsible for developing output-level indicators. In addition, they must select outcome-level indicators from the CRGE Facility Portfolio Results Matrix and integrate these into their M&E plans. Specifically, they must adopt, monitor and report on:

- All outcome-level, sectoral indicators (Pillars 1-4) that directly relate to the focus of the programme / project in question
- Two cross-cutting indicators (Pillar 5), at a minimum

Once indicators are selected, a good practice is to record the definition of each indicator in a way that ensures its consistent calculation over time. The CRGE Facility Secretariat, in collaboration with representatives of line ministries and other stakeholders will develop “performance indicator reference sheets” for indicators in the CRGE Facility Portfolio Results Matrix (Appendix 4 contains a template and instructions). Implementing Entities should do so for the output-level indicators they choose to include in their M&E plan.

Identifying CRGE Enablers to Track

Barriers to the widespread implementation of climate resilient and low carbon practices exist. Insufficient finance is a key one and that is precisely the barrier the CRGE Facility was set up to overcome. Other barriers relate to information deficits; policies, plans and regulations that send the wrong signals; and gaps in knowledge, skills and capacities within government to plan, resource and deliver CRGE results. Meeting objectives in the CRGE Strategy requires turning these barriers into enablers. Therefore, the CRGE Facility Portfolio Results Matrix also integrates indicators to track progress on CRGE enablers: (1) data and information for decision support; (2) measurement, reporting and verification (MRV) systems; (3) policies, plans and regulations, and (4) knowledge, skills and capacities.

As outlined in Section 3, programme / project M&E plans must specify:

- Which CRGE enablers (and related indicators) are most pertinent to the programme / project
- Who will complete the scorecards developed centrally to track progress on CRGE enablers and how frequently (once a year at a minimum) (see Appendix 6 for an example)

Setting Baseline Values

Implementing Entities must gather and document baseline information for before launching CRGE programmes / projects.¹³ Baseline information provides a reference against which to measure change and helps with programme / project planning. A pre-requisite for collecting baseline data, therefore, is clarity on the domains of change the programme / project will seek to influence and the indicators to be used to measure change, drawing, as relevant from existing sectoral M&E systems.¹⁴ If data or information on the baseline situation are unavailable, numerous methods exist to collect and analyze baseline data. Feasibility, appropriateness and cost-effectiveness are three criteria Implementing Entities and line ministries should use to guide the selection of methods to adopt or studies to undertake. A few examples of methods are as follows.

- Knowledge, Attitudes and Practice surveys, which could include household surveys (see: http://www.pioj.gov.im/portals/0/sustainable_development/cckapsurvey2012_appendices.pdf for an example application)

- Climate Vulnerability and Capacity Analysis (see: http://www.careclimatechange.org/cvca/CARE_CVCAHandbook.pdf)
- Participatory Rural Appraisals and other qualitative methods that help gather information on values, opinions and contextual factors shaping people's well-being from their own perspective

Baseline information should be analyzed to understand differences in relation to gender, age and other socio-economic dimensions that exacerbate vulnerability to climate change and disaster risk and that affect groups' potential to benefit from the CRGE programme / project under consideration.

Each output and outcome indicator should have a baseline value associated with it. Baseline values for outputs are often (but not always) zero or none because outputs are generally deliverables of the programme / project.

Federal Implementing Entities in particular should seek opportunities to learn from the experiences of peers in setting baseline values.

Selecting Target Values

Each indicator should have a target value associated with it. Targets should be realistic and draw on past experience on the reach and effect of an intervention. In some cases, interventions will be novel (to the location, to Ethiopia) and so Implementing Entities may not have the benefit of experience to set targets. Consulting with a range of stakeholders to come up with a target informed by different views can be helpful. In any case, Implementing Entities should make note of assumptions in the target values selected.

Putting it All Together

Drawing from the steps above, Implementing Entities will develop an M&E plan for any programme / project to be financed by the CRGE Facility. Where Executing Entities are involved this should be developed jointly. The M&E plan must be shared with the CRGE Facility and should contain information on expected results, indicators, baselines and targets, as well as outline how data will be gathered to report on indicators, when data will be collected, by whom it will be collected, who will analyze it and how that analysis is to be used. Complexity and detail of the M&E plan depends on the size and duration of the intervention. See: <http://www.tools4dev.org/resources/monitoring-evaluation-plan-template/> to access a template for an M&E plan.

All plans must include a log frame, such as the example provided in the CRGE Facility Operations Manual. They must also specify beneficiaries' participation in monitoring and evaluation (who, how, when). See: http://betterevaluation.org/toolkits/equal_access_participatory_monitoring and http://www.care.org/sites/default/files/documents/CC-2012-CARE_PMERL_Manual_2012.pdf for a range of tools and methods to facilitate participatory M&E.

Securing adequate budgeting for M&E activities is often challenging.¹⁵ Although no global standard exists, guidance from donors and large NGOs suggests that M&E budgets commonly comprise at least between 5 and 10 percent of total project costs. M&E plans should use this as a rough "rule of thumb" to estimate an initial M&E budget.¹⁶

4.3. Activity Recording / Process Documentation

Implementing and Executing Entities are responsible for ensuring routine monitoring on the use of inputs (including finances) and implementation of activities. This is basic record-keeping and follows standard accounting procedures and delivery on work plans. In addition, most CRGE Facility funded

programmes / projects will involve planning and delivering events such as trainings, workshops and stakeholder meetings. Staff responsible for delivery of events should take the time to debrief on the successes, challenges and learning points after each event, and make a note of these. This debrief can be quick, lasting for 15 to 20 minutes.

Aside from keeping accounts of financial expenditures and physical activities undertaken, it's important to keep records of the following:

- The number and type of beneficiaries participating in CRGE Facility funded events, disaggregated by sex (and age, ability?)
- The number of programme / project outputs (e.g., field guides, reports) delivered and requested by stakeholders
- Media stories profiling some aspect of the programme / project
- Events undertaken, how they were done, what worked well, what did not

4.5. Quarterly Progress Report

The CRGE Facility requires quarterly progress reports (both technical and financial) for each individual programme / project. Quarterly reporting captures activity and output-level information. The narrative section of the quarterly report, therefore, should include a summary of activities and outputs contributing to expected outcomes. Reporting templates are in Appendix 5.

Line ministries are required to aggregate these individual reports to the sector-level before submission to the CRGE Facility. Both finance and narrative reports must follow the reporting path as provided in the CRGE Facility Operations Manual and ultimately reach the CRGE Facility Secretariat. Additional release of funds for programme / projects is contingent on meeting these reporting requirements. The CRGE Facility is responsible for maintaining records of this reporting.

In summary, four main steps are involved:

- Collate information on actual expenditures, activities and outputs for the reporting period and compare them against plans (work plan, budget plan, M&E plan)
- Compile documented implementation challenges, successes and insights on programme / project impact for the reporting period
- Fill in the templates
- Submit templates for aggregation and the sectoral level and submission to the CRGE Facility

4.6. Annual Institutional Learning Events

It's proposed that line ministries undertake an annual learning event to reflect on the changes being observed and to take stock on progress on CRGE enablers. As envisioned, these learning events would include a full day of sharing experiences and lessons with implementing agencies (including regional IEs and EEs, as relevant) and half a day dedicated to the scoring of CRGE enablers.

The standard set of questions noted below can guide the first day's discussion. Their use encourages reflection on the relevance of the changes being measured by the programme / project and helps capture unintended changes; their use also encourages learning. Answers should derive from insights gained from interactions with programme / project stakeholders and performance data being collected, and be as specific as possible.

Table 5: M&E Questions

M&E Questions	What does it monitor?
Q1. What are beneficiaries (e.g., communities, governments, private-sector actors) doing differently and why?	Monitors change in knowledge, attitudes and practices related to climate resilient, low carbon development. Allows the team to assess attribution (i.e., the causal link between programme, / project activities and changes on the ground). Quantitative and qualitative information applies, including photographs and short videos.
Q2. What happened that was unexpected and what was the result?	Monitors factors outside the sphere of influence of the programme / project and their effect on programme / project stakeholders. Helps capture positive and negative results that could not have been foreseen in advance. Helps update assumptions about programme / project implementation.
Q3. What difference is this making, for whom and why?	Explores the significance of changes and events documented in Q1 and Q2 above. The M&E team is encouraged to specifically discuss the implications of changes for different groups (i.e., gender, age, vulnerable populations).
Q4. Who does not get to participate in the programme / project? Why?	Identifies systematic barriers to participation in the programme / project and informs strategies to make the programme / project more inclusive.
Q5. What can be learned from this to inform future CRGE activities and strategies?	Encourages consistent reflection on and analysis of the answers to Q1-Q4 in an effort to identify improvements to programming and to contribute to building a knowledge base on climate resilient low carbon growth in practice.

As for the scoring process suggested for the second day, line ministries can use the indicator data from individual reports aggregated to the sector level to inform their qualitative assessment of progress during a three-hour meeting with peers (i.e., representatives from line ministries active on CRGE activities). Appendix 6 contains a sample scorecard.

Key to this learning event is the documentation of key challenges and the development of an agreed-upon plan to address them. The action plan should identify (1) the issue / problem / challenge; (2) how you intend to resolve it; (3) who will take what action and when.

In summary, five main steps are involved:

- Plan a 1.5 day learning event that brings together implementing agencies delivering on projects / programmes within a sector
- Facilitate a discussion on observed changes, unintended impacts, challenges and implementation lessons using the M&E questions
- Use scorecards and information in reports to score progress on CRGE enablers that the sector is tracking
- Develop a time-bound action plan to address issues and challenges identified
- Include a summary of learning and actions in the annual Performance Assessment Report for submission to the CRGE Facility

4.7. Annual Performance Assessment Report

The CRGE Facility requires Implementing Entities to submit an annual Performance Assessment Report (PAR) on programme / projects financed by the CRGE Facility.¹⁷ PARs inform two monitoring activities at the CRGE Facility level: annual monitoring missions and CRGE Facility annual reviews /

reports (see Table 6 below) and leverage the lessons and insights from responses to the M&E Questions (section 4.3.)

The reporting process is similar to that for quarterly reports. Line ministries are required to aggregate individual programme / project reports before submission to the CRGE Facility. Both finance and narrative reports must follow the path as provided in the CRGE Facility operations manual and ultimately reach the CRGE Facility Secretariat. PARs capture activity, output and outcome-level information (as much as possible), as well as lessons and insights from periodic responses to the M&E Questions (Section 4.3.). A reporting template for M&E information has not yet been developed.

In summary, five main steps are involved:

- Collate information on actual expenditures, activities, outputs and outcomes for the reporting period and compare them against plans (work plan, budget plan, M&E plan)
- Compile documented implementation challenges, successes and insights on programme / project impact for the reporting period
- Fill in the templates
- Submit templates for aggregation and the sectoral level and submission to the CRGE Facility three months prior to the Facility Annual Monitoring Mission
- Integrate feedback from Annual Monitoring Mission and Facility Annual Review into implementation plans

Table 6: CRGE Facility Monitoring reliant on information from annual performance assessment reports

	Annual Monitoring Missions	CRGE Facility Annual Reviews / Reports
Who	Led by the CRGE Facility, technical and finance	Led by the CRGE Facility
What	Visits to clusters of project sites to: -Discuss achievements along output, use-of-output and outcome indicators with IEs -Discuss deviations and reasons for deviations from plans -Discuss necessary strategy course corrections and related implications	-Analysis of annual reports from each sector, compilation into a CRGE Facility report that includes a retrospective on the previous year's Facility level reporting, including how recommendations were made operational -Two meetings to review the annual report, one internal (CRGE Facility Management Committee) and one external (including line ministries, regions and development partners)
Why	To assess the performance of ongoing programmes / projects and provide technical advice to IEs or EEs	To assess implementation, technical, administrative or resource challenges; decide on strategic course corrections and consolidate lessons from the pursuit of CRGE activities
When	Annually	Annually
Other	-The PAR must be completed three months prior and sent to the line ministry CRGE unit for submission to the CRGE Facility for feedback -Facility findings resulting from the mission will be shared with IEs and EEs and inform the following year's mission agenda -See Appendix 7 for a template to report on monitoring missions	-Facility observations and decisions will be shared with IEs

4.8. Additional Monitoring Missions Involving IEs

The following are mechanisms that the CRGE Facility could deploy and that would involve Implementing Entities.

- **Ad-hoc Quality Assurance Missions** are co-organized by Implementing Entities and the CRGE Facility Secretariat for the purpose of validating M&E information during site visits. A key part of these missions is to hold reflection meetings at regional and woreda levels. Observations, decisions and action points arising from the mission would be distributed to participants.
- **Joint Monitoring Missions** are organized by the CRGE Facility or Implementing Entities, undertaken annually and involve development partners.

4.9. Risk identification, Monitoring and Management

In the Monitoring and reporting processes, the Facility identifies risks and manages as per the risk management policy that is provided in the Operational Manual. The manual mentioned the type of potential risks: Operational Risk –the failure to deliver timely and quality results, or the breach of environmental or social safeguards during implementation; Fiduciary Risk – where funds allocated to The Facility are not used in accordance with terms of agreements, and/or are not properly accounted for and/or are otherwise misappropriated; Strategic Risk – where the circumstances impacting The Facility impair its ability to achieve its goals and objectives; and Reputational Risk – if Facility fails to mobilize substantial finance; if safeguards are breached; if funds are not properly accounted for and/or are otherwise misappropriated.

Consistent with the Ethiopian public-sector project preparation guideline and general accepted practices, there are five strategies to risk management – risk reduction, risk transfer, risk avoidance, risk acceptance and contingency plans. Appropriate strategies have to be evaluated and built into the project design. During implementation, risks identified during project/programme design have to be managed in accordance with the plan. However, practice suggests that as known risks are managed, new ones will emerge. Risk has to be monitored on an ongoing basis through appropriate risk and issue log and managed on real-time basis.

The following four categories of risk are anticipated during the operation of the Facility- the operational risks, fiduciary risk, strategic risk and reputational risk. These risks are associated with both the operations of the Facility itself and those of programmes and projects it finances. A template for risk monitoring tool and procedure for all projects financed by the CRGE Facility are provided under appendix 9.

SECTION 5: EVALUATION

5.1. Introduction to Overall Requirements

Section 4 covered monitoring and reporting on activities and immediate results; this section focuses on evaluation of longer-term results. In other words, evaluation primarily focuses on results at the

Take home messages:

- Evaluation of Facility-financed activities can take many forms and vary according to when it takes place, who conducts it and how it is done
- Evaluation design begins with a strong theory of change and logframe – components of IE's M&E plans.

impact and outcome-level. Table 7 outlines the different types of evaluation activities envisioned for CRGE Facility-funded investments, at both the programme/project and Facility levels. Not all programmes / projects will be subject to external evaluations (See Appendix 8 for External Evaluation TOR). Line ministries are responsible for including a

schedule of evaluation activities in their M&E plans and consult with the CRGE Facility to finalize this schedule. Decisions to evaluate a programme / project depend on five factors:

- Monitoring activities flag the need for corrective measures to improve the effectiveness of an on-going programme / project
- A decision whether to continue with, revise or extend a programme / project is imminent
- Specific operational feedback on the effectiveness, relevance or likely impact of the programme or for the sector concerned is necessary
- The potential to generate transferable lessons is high
- Policy makers, programme managers or other external partners request it

Table 7: Evaluation framework

Focus	Type of evaluation & frequency	Responsible
Impact - CRGE Facility	-Impact evaluation focused on long-term results of CRGE Facility-supported investments as a whole (portfolio) or thematically -After five years of operation	Managed by CRGE Facility, undertaken by independent third party (e.g., external consultant)
Outcome and Process – CRGE Facility	-Evaluation focused on short to mid-term results (outcome-level) of CRGE Facility-supported investments as a whole (portfolio) or thematically, and on generating lessons on process -After 2.5 years of operation	Managed by CRGE Facility, undertaken by independent third party (e.g., external consultant)
Outcome – programme / project	-Final evaluation or review focused on satisfaction of and use-of outputs by beneficiaries, sector-level outcomes -At programme / project completion	Internal evaluation managed by line ministry if project duration is less than or equal to two years. Undertaken by independent third party, if otherwise.
Process and outputs – programme / project	-Mid-term evaluation or internal review focused assessing immediate results and on generating lessons on process -At mid-point in programme / project	Internal review managed by line ministry if project duration is less than or equal to two years. Undertaken by independent third party, if otherwise.
Note: Joint evaluations, funded and managed by both domestic and external stakeholders, are possible and should be built into M&E plans.		

5.2. Evaluation Objectives and Criteria

All evaluations of CRGE Facility-funded initiatives should promote accountability and learning. Learning objectives and criteria to determine success are more context-specific than are accountability objectives and criteria. Domains of change tend to determine evaluation questions related to learning. The following results statements are the domains of change Implementing Entities and the CRGE Facility should consider in defining learning objectives and criteria for evaluations. The potential to contribute to global learning in support climate-resilient green growth is another consideration in scoping evaluations.

- Agricultural systems strengthened using low carbon, climate resilient practices
- Forests and other natural resources protected and sustainably managed for their social, economic and ecosystem services
- Increased energy efficiency and electricity generation from diversified, climate resilient renewable sources
- Green cities, buildings, transportation and industrial systems developed and safeguarded against climate risks
- Climate resilient and green economic growth is socially equitable and inclusive, addressing underlying drivers of vulnerability to climate risks
- Increased generation and use of climate information in decision-making
- Strengthened government systems to measure, report and verify GHG emissions and reductions
- Strengthened government institutional and regulatory systems for green, climate resilient development planning
- Strengthened government capacities to plan, resource and deliver green, climate resilient development results

In general, evaluations should address the standard criteria put forward in DAC Principles for Evaluation of Development Assistance.¹⁸

Table 8: Standard evaluation criteria

Criteria	Description
Relevance	This addresses the question have we done the right things? It considers the extent to which project activities are consistent with overall objectives of the programme / project and with expected outcomes and impacts. It also considers the extent to which programme / project objectives remain valid.
Effectiveness	This addresses the question have we done things right? It involves comparing performance (i.e., project implementation) with objectives and expected results. It considers the extent to which outcomes are achieved / likely to be achieved given performance and seeks to identify contributing factors and barriers.
Efficiency	This addresses whether the selected approaches were the best available and how cost-effectively resources have been converted into results. It considers programme / project implementation in terms of efficient and economical use of resources relative to time and budgets available, and compared to alternatives.
Impact	This assesses the changes that have occurred, whether intended or unintended, and the contributions of programme / project interventions to this change.
Sustainability	This addresses the question how likely is it that benefits and gains resulting from the programme / project will persist? It considers the prospects for continuity and long-term benefits of the programme / project results, including ownership and partnerships by local, regional and national stakeholders.

Linking evaluation plans at the project / programme level with higher-level plans is important. They include impact research / real time evaluation activities planned by the newly established Environment and Climate Research Centre (ECRC) in the Ethiopian Development Research Institute. The ECRC's *"core functions include undertaking policy-oriented research on the economics of climate and environment in Ethiopia, conducting real-time impact evaluation of the Climate Resilient Green Economy (CRGE) strategy's implementation process."*¹⁹ The CRGE Facility will be responsible for establishing a working relationship with the ECRC.

5.3. Project and Program Closure

One of the criticisms of the project/programme initiatives with external financial and facilitation supports is the development of dependency and thus low potentials of sustainability. In order to reduce the dependency on external supports and make project/programme benefits sustainable, the Facility ensures an in-build phase out plan during the design period and follow up the implementation processes accordingly. Moreover, following end of the project/programme periods, the Facility also facilitates closure of the programmes/projects. For this purpose, clear reports are expected based on assessment of the impact of the interventions and serve for decisions whether to continue, expand or cancel the programmes/projects. This also serves for administrative purposes—such as to fulfill requirements demanded by some funding sources (See appendix 9 for a standard programme/project closure template).

The closure process includes key administrative procedures to transfer project products or services, stakeholders' approval of the project deliverables, knowledge management through documented lessons from the interventions, and management of assets remaining at the end of the programmes/projects.

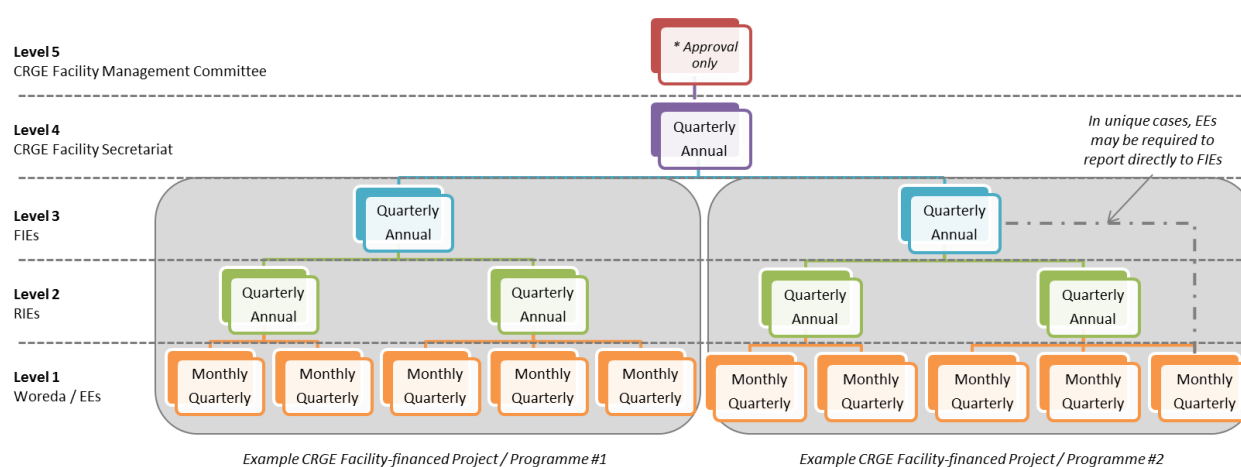
SECTION 6: ROLES AND RESPONSIBILITIES IN M&E

For simplicity, previous sections of the report have primarily referred to Implementing and Executing Entities, as well as to the CRGE Facility. In reality, numerous, distinct actors are involved in CRGE Facility M&E. The quarterly and annual reporting path illustrated Figure 4 and described in Box 1 below highlights the many actors and levels involved and their function in reporting.

Take home messages:

- Implementing and Executing Entities are two of several actors involved in delivering on CRGE Facility funded activities.
- Understanding relative roles and responsibilities in monitoring, evaluation and reporting is important.

Figure 4: CRGE Facility M&E System – Reporting Hierarchy (aggregation of performance results starts at Level 2)



Box 2: Reporting path to the CRGE Facility

- **Level-1:** Woredas report on monthly, quarterly and annual basis to regional sector bureaus. Where there are Executing Entities working with regional sector bureaus (also called Regional Implementing Entities), they should also report in the same way. However, where Executing Entities operate at the federal level, they report instead to federal Implementing Entities.
- **Level-2:** Regional sector bureaus consolidate the quarterly and annual physical reports received from woredas and Executing Entities into one report and submit this to the respective federal Implementing Entity. Regional sector bureaus also send a copy of this collated report to regional CRGE focal points; these will be BOFED and Environment and Forest Bureau (names may differ from region to region).
- **Level-3:** Federal Implementing Entities aggregate the physical reports received from Executing Entities and from regional sector bureaus into one report and submit this to the CRGE Facility.
- **Level-4:** The CRGE Facility presents the report to the CRGE Facility Management Committee for discussion and approval.
- **Level-5:** After obtaining endorsement and approval of the CRGE Facility Management Committee, the Facility Secretariat sends the report to contributors, development partners and interested parties through media including the CRGE Registry.

The rest of this section highlights specific M&E roles filled by ten different actors.

Table 9: Roles and responsibilities in monitoring, evaluation and reporting

Actor	Monitoring, Evaluation and Reporting Responsibilities
CRGE Facility Management Committee	• Approves the CRGE Facility M&E System • Reviews CRGE Facility performance and Portfolio performance on a quarterly basis • Provides high level direction, guidance and support to potential problem projects / programmes • Commissions spot-checks of projects / programmes, as required (for technical or financial reasons) • Commissions reviews or evaluations (independent or non-independent) of projects / programmes
CRGE Facility Secretariat	• Develops and maintains the CRGE Facility M&E System • Provides guidance and support on CRGE Facility M&E system requirements (including reporting templates) • Enforces compliance of CRGE Facility financed activities with the CRGE Facility's M&E system (including M&E budget requirements) • Monitors project / programme performance quarterly (progress reports) and annually (performance assessment reports) • Consolidates quarterly and annual reports from IEs into Facility Portfolio-level quarterly and annual reports for submission to, and approval, by the CRGE Facility Management Committee • Executes spot-checks of projects / programmes, as requested by the CRGE Facility Management Committee (<i>** the Secretariat itself can also advise or request a spot-check be performed</i>) • Commissions and coordinates joint monitoring missions (with development partners), as required • Commissions independent evaluations, as required • Produces Facility-level quarterly reports • Produces Facility-level annual performance assessment reports • Coordinates and hosts Facility's annual reflection meeting • Disseminate and post approved reports to the public and CRGE Registry
Federal Implementing Entities (FIEs) ** Line Ministries	• Ensure compliance of all Facility financed projects / programmes with the CRGE Facility M&E system (including reporting requirements) • Develops and implements M&E plans for all CRGE Facility financed projects / programmes (<i>** M&E plans should be in line with both sectoral M&E plans and the CRGE Facility M&E system</i>) • Supports RIEs and EEs (government & non-government) in implementing M&E plans • Monitors project / programme performance quarterly (progress reports) and annually (performance assessment reports) • Consolidates and aggregates project / programme performance data from across RIEs and federal-level EEs and generates quarterly (progress) and annual (performance assessment) reports • Leads mid-term review and impact assessment procedures (e.g. develops TORs, oversees review / evaluation, submits final report to Secretariat)
Sector CRGE Units²⁰	• Focal points within line ministries. They coordinate the sector to ensure compliance on M&E responsibilities, including working closely with the planning directorate and across all other directorates.
Regional Implementing Entities (RIEs) **Regional Sector Bureaus **	• Supervises the monthly and quarterly implementation of programmes / projects at all levels in the region • Prepares quarterly (progress) and annual (assessment) reports and submits to relevant FIEs (copying BEF and BoFED) • Performs quarterly monitoring missions, as required • Facilitates and hosts periodic joint monitoring missions, as required and requested by the CRGE Facility and FIE
BoFEDs	• Responsible for bureau-level financial monitoring and reporting
Executing Entities (including Woreda offices and Zone Departments)	• Executes and monitors CRGE Facility financed projects / programmes, including the project / programme M&E plan • Generates monthly and quarterly progress reports for submission to the relevant IE (<i>RIEs, although in some cases, EEs may report directly to FIEs</i>)
WoFEDs	• Responsible for woreda-level financial monitoring and reporting
Contributors / Donors	• Participate in monitoring missions • Negotiate additional monitoring and reporting requirements with MOFED as part of any

	Memorandum of Understanding
Key national agencies	• The National Planning Commission may consider adopting CRGE impact level indicators in GTPII • The Central Statistical Agency holds and collects data, which can serve to populate some CRGE Facility indicators

SECTION 7: MAINTAINING THE M&E SYSTEM

This manual describes the basic requirements for putting climate finance M&E into practice. Upgrades and refinements should take place periodically and with the benefit of experience. Capacity improvements and indicator use, financial resources, evaluation guidance and data & information management are four key areas that the CRGE Facility should develop further. Additional templates (qualitative scorecards, PAR) and guidelines (how to run a learning event, performance indicator reference sheets) to those provided here also need to be developed.

Capacity to use the CRGE Facility M&E system. Capacity to understand and use the system consistently needs strengthening. This includes training at the Woreda-level on indicators – on how to collect data (as part of GTPII monitoring if indicators get taken up by GTPII, or as part of monitoring activities for CRGE Facility financed activities/interventions). The National Capacity Development Programme is an opportunity to build “[t]he expertise and infrastructure to deliver plans and resources; to monitor results and feed results and lessons into national (and international) reporting and information systems”²¹ Capacity of existing M&E units within sector and bureau offices will be critical and building it is in line with recommendations from the national gap assessment on results-based management in Ethiopia (2013)²²

Financial resources. Section 4.2 of this document emphasizes the need for Implementing and Executing Entities to include M&E activities as a budget line in their planning. The CRGE Facility Portfolio Results Matrix includes some new indicators (i.e., limited to no experience in their application in Ethiopia) as well as a focus on outputs and outcomes (versus inputs and activities). The resource implications of collecting and analyzing data to report on these indicators are unclear. The costs involved in undertaking monitoring and learning activities beyond the usual quarterly and annual physical and financial reports are also unclear. It will be important for the CRGE Facility Secretariat to ensure IE’s are allocating sufficient resources to M&E activities, based on documented experience.

Evaluation guidance. Section 5 in this document outlines basic characteristics of evaluation activities for Facility-financed initiatives. However, elaborating on this guidance would be helpful. As well as enhancing guidance on the types of evaluation that would be useful, how to design them and how to manage them to ensure high-quality findings, a mapping of project / programme level evaluations with the macro-evaluations that will be undertaken by the CRGE Facility is also important. Once developed, the CRGE Facility Secretariat should communicate its evaluation strategy with Implementing Entities.

Data and information management. The Government of Ethiopia has created the CRGE Registry (<http://www.ethcrge.info/home.php>), as a clearinghouse for information on Facility and non-Facility financed CRGE activities. The Registry is currently underutilized; for example, it does not include the most up to date information on CRGE activities. However, the CRGE Registry could become a tool for managing data and information on M&E activities, and to promote transparency and accountability to donors and citizens. The supply of information on the site needs improvement (e.g., more up-to-date, disaggregated performance data visualized in various formats). Increasing the demand by Ethiopians for accessing information on the CRGE Registry is also important and can only be created and sustained with targeted communications.

The annual review process undertaken by the CRGE Facility Secretariat is an opportunity to reflect on the performance of the M&E system itself. Based on reviews of performance monitoring data, the team can reflect on the relevance of the M&E system, adjust its components accordingly (e.g.,

dropping certain indicators or revising the indicator methodology) and communicate these changes to relevant stakeholders. It's particularly important to adjust the system after the first year of its use, and then every two years.

APPENDICES

1. MEMBERS OF THE TECHNICAL WORKING GROUP WHO PARTICIPATED IN THE DEVELOPMENT OF THE CRGE FACILITY M&E SYSTEM

[CRGE Facility to include contact information (at least names) of Technical Working Group members]

CRGE Priority Sectors	Development Partners	Other supporting institutions
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Getnet Fetene getnet_fetene@yahoo.com 0923 290920 MoWIE		

2. MONITORING AND EVALUATION MANDATES AND PRACTICES IN ETHIOPIA

Proclamation No. 256/2001 provides MOFED with the responsibility of following up and evaluating the execution of capital budget, external assistance and loan and the accounts of the federal government including subsidies granted to regional states.²³ Regulation No. 281/2013 provides a mandate to the National Planning Commission to conduct periodic monitoring and evaluation. These regulations together demonstrate that the mandate for monitoring and evaluation are shared at the national level.

All action plans must pass an appraisal and approval process of MOFED and the Prime Minister Office (PMO) respectively. Once approved, public bodies prepare and submit action plans to the budget department of MOFED. The agreed action plan consists of physical and financial targets as well as human and material resources required achieving the intended targets. It then serves as the basis for monitoring and evaluation. While MOFED and the National Planning Commission are mandated to monitor and evaluate all public projects and programmes, individual sectors (line ministries) may also establish and implement sector wide and inclusive M&E systems.

While MOFED is mandated to monitor and evaluate all public projects and programmes, individual sectors (i.e. line ministries) may also establish and implement sector wide and inclusive M&E system.

Depending on the size and life of projects and Programmes, line ministries also establish and execute project or programme specific M&E systems. Furthermore, sector ministries are responsible to conduct Annual Performance reviews, which in several cases are informed by and/or make use of findings from the work of Joint Sectoral Working Groups, which provides an avenue for inclusion of development partners and other stakeholders in the review process. The Central Statistical Agency manages a robust programme of household surveys and provides oversight and guidance on the quality of core sectoral administrative reporting systems. It also undertakes periodic surveys and assessment on key macro-economic variables. The CSA has its own structure which includes regional level and satellite offices in selected zones and woredas. The Monitoring and Evaluation Bureau, under the newly established National Planning Commission (NPC), is also mandated to monitor and evaluate public projects and Programmes.

At regional level, proclamation No 41/1993 entrusted executive organs of regional states with the legal power of undertaking monitoring and evaluation. Articles 52 of the proclamation gave regional Bureaux of Finance the power and duties of preparing, consolidating and submitting annual budgets to executive committee of regional states and administer the approved budget. Article 54 of the Bureau of Economic Development (BoFED) with the power of reviewing capital budget proposal and upon approval follow up the implementation of the same. Accordingly, the respective BoFEDs have the responsibility to follow up and evaluate the execution of capital budget, accounts of the regional governments and subsidies granted from the federal government. The Regional Bureaus are also responsible to undertake monitoring and evaluation of the sector projects and Programmes in close consultation and collaboration with the line ministries at Federal level.

In terms of reporting path and mandates, sectoral reports start from Kebeles, the lowest government administrative bodies. All kebeles within a Woreda Administrative boundary send performance reports to relevant Woreda offices. The latter aggregates the reports and sends to regional sector bureau or zonal department, which in turn complies and send the report to their respective line ministries at federal level. The federal line ministries eventually send their report to MOFED, which will substantiate sector reports with survey data compiled by the central statistical agency and prepares the annual performance report of the country. The Annual Progress Report is in

turn reviewed and approved by the Council of Ministers and Parliament, and is shared with the public, development partners and other stakeholders.

The current monitoring and evaluation system is presented in a diagrammatic form below:

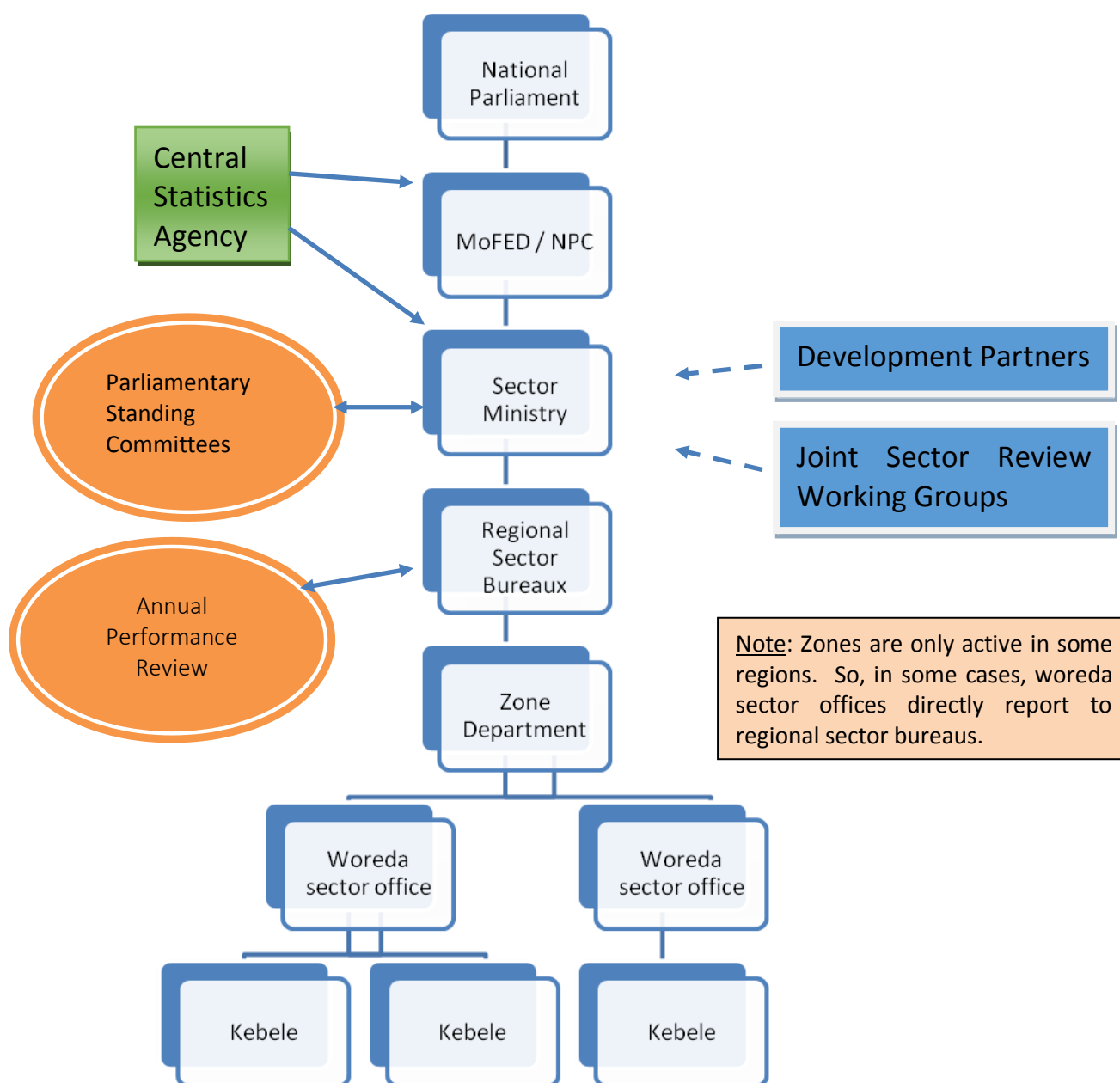


Figure 5: Current national M&E system

3. RESULTS MATRIX - CRGE FACILITY PORTFOLIO (final version 15th May 2015)

The following table is the results matrix proposed for the CRGE Facility Portfolio. Results and indicators are identical to those in the results matrix for the CRGE Strategy. The key difference between the two results matrices lies in scale – national versus programme / project-level. By extension, Responsible Agency, Data Sources and Collection Methods, and Frequency associated with monitoring and reporting results at the outcome level (pillar and sub-pillar) differ. The scope of activities also differs, with implications for baseline and target values such that those in the CRGE Facility Portfolio Results Matrix may represent only a portion of those identified in the national CRGE Strategy Results Matrix.

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
IMPACT – Macroeconomic level								
For Ethiopia to become a middle-income country by 2025, through economic growth that is resilient to climate change and results in no increase in carbon emissions		Total national GHG emissions (MT) – disaggregated by sector	150 (2010) Ag = 75 Forestry = 55 Power = 5 Transport = 5 Industry = 5 Other = 5	150 (2030)	National GHG inventory	Bi-annually	MEF (National GHG Inventory)	Assumes the national GHG inventory and accounting protocol have been developed and are operational, and that sectors are accurately calculating their GHG emissions in line with internationally accepted methodologies
		Additional Notes / Comments: - Second National Communication (SNC) recently completed. Although Ethiopia is not required to report regularly to the UNFCCC (as a non-Annex 1 country), their current goal is to report on national GHG emissions bi-annually (Source: MEF) - Alternatively, if the bi-annual GHG reporting system is not operational before 2020, consider completing the Third National Communication in line with the end of GTPII (2010).						
		Total national GHG emission savings (MT) – disaggregated by sector		255 (2030) Ag = 90 Forestry = 130 Transport = 10 Industry =	Sectoral MRV systems	Bi-annually	All CRGE priority sectors (MoA, MEF, MOWIE, MOI, MOT, MUHCo,	Sectoral MRV systems have been developed and are operational

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
				20 Buildings = 5				
		Additional Notes / Comments: 3. Targets from GE Strategy (2011). See Figure 8 for total national abatement potential.						
		CO2-e emissions per US dollar of GDP (kg / USD)			National GHG inventory MoFED Annual Reports	Bi-annually	MoFED (GDP) & MEF (GHG)	See above.
		Additional Notes / Comments: 4. See above.						
		<i>CRGE to choose one based on existing data systems & availability</i> Economic losses as a result of climate sensitive events (USD) ...or... Number of people affected by climate-related disasters (disaggregated by vulnerable group) – GCF strategic-level indicator			<i>To be confirmed with DRMFS</i>	Annually	Disaster Risk Management and Food Security Sector (DRMFSS)	
		Additional Notes / Comments: 5. Economic losses cannot include those as a result of human loss or injury nor loss of ecosystem services (cannot quantify); 6. Agricultural losses (from pests, flood, birds, etc) are reported as part of the annual HH Agricultural Sampling Survey, however loss numbers may be significantly underreported (Source: CSA). 7. Although available for other countries, neither indicator is currently reported to EMDAT-CRED (http://www.emdat.be/). Adoption of						

Objective	Outcome/ Output	Indicator (<i>unit</i>)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		either indicator would enable reporting to EMDAT. 8. For “number of people affected...” may consider disaggregation by vulnerable groups, including children, youth or elderly.						
		<i>FOR CRGE CONSIDERATION: Local Resilience Index</i> <i>** Interim indicator could be used while Index is being developed (e.g. Percentage of food secure households, as collected by the Food Security Coordination Directorate, FSCD)</i>			<i>National census data</i> <i>Household surveys (to complement secondary data sources)</i>	<i>Every 5 years</i>	<i>CRGE Secretary with support from CSA</i>	<i>Index could be developed using mostly secondary (CSA) data, complemented by additional data collection where necessary. Would require additional investment to develop index and to establish baseline.</i>
		Additional Notes / Comments: 9. ACCRA has been doing work to assess “local adaptive capacity”; the Global Adaptation Index (GAIN) would be another sample index to tailor to Ethiopia (Rwanda is developing a similar metric for FONERWA, using GAIN) 10. 5-year frequency proposed to align with national development planning cycles (e.g. 2015/16 – 2019/2020 for GTPII)						
OUTCOMES								
1 Agricultural systems strengthened using low carbon, climate resilient practices	1.1 Climate smart crop production practices adopted and productivity increased	1.1.1 (<i>Change in</i>) Rainfed crop area under sustainable, climate smart land management practices (ha) – by crop type (private holders only) ¹			(revised) Agricultural Sampling Survey	Annually	MoA and CSA	Revisions to the current Agricultural Sampling Survey required to ‘tag’ farmer practices as ‘climate smart’ or not.
		Additional Notes / Comments: 11. Indicator represents a modification to the current indicator “Applied area (ha) of improved seed, irrigation, pesticide, and fertilizer, by crop type, for private holders” (CSA Ag. Sample Survey)						

¹ Similar to GCF proposed indicator: Area of agricultural land made more resilient to CC through changed agricultural practices.

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		12. For private holders tagged as applying irrigation, see indicators 1.2.1 and 1.2.2. 13. Private holders not tagged as applying irrigation automatically tagged as practicing “rain-fed” agriculture. 14. “ crop Crop area” refers to the CSA classification of productive land, or land that is currently under cultivation. 15. For definitions of “sustainable, climate smart land management practices”, including minimum number of practices that must be applied in order to be considered – see SLMPII project documentation (including M&E system) or FAO’s Climate Smart Agriculture Sourcebook						
		1.1.2 (Change in) Rain-fed crop land productivity for major food crops (quintal per hectare) - Conventional practices - Climate smart practices			(revised) Agricultural Sampling Survey	Annually	MoA and CSA	See above.
		Additional Notes / Comments: 16. Indicator represents an improvement to current indicator “Area under cultivation, yield and production of major crops” and includes improvements adopted from both PBS and SLMPII projects 17. See Comment 9 above. For private holders tagged as practicing “rainfed” and “sustainable, climate smart land management practices” (see Indicator 1.1.1 above), changes in crop productivity will be tracked separately from those private holders practicing rainfed agriculture but not yet having adopted climate smart practices. 18. Major food crops include cereals, pulses and oil seeds						
	1.2 Increased coverage of climate smart irrigation systems	1.2.1 (Change in) Total crop land under modern, climate smart irrigation systems (ha and %) - Medium and large-scale - Small-scale			(revised) Agricultural Sampling Survey MoWIE Annual Reports	Annually	MoWIE (medium and large-scale) MoA (small-scale) CSA	See above. Climate data and analytical capacity exists in-country to assess future irrigation potential under climate change scenarios
		Additional Notes / Comments: 19. Indicator represents an improvement to current indicator “Area of land developed with medium and large scale irrigation” (GTP1;						

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		also proposed for GTPII) 20. “modern, climate smart irrigation systems” to be defined by the Responsible Agencies but at minimum should require that climate information has been used to assess future irrigation potential of the region						
		1.2.2 Small-scale irrigation: (Change in) crop land productivity where modern, climate smart and small-scale irrigation applied (quintal per hectare) ▪ Major food crops ▪ High value crops			(revised) Agricultural Sampling Survey	Annually	MoA and CSA	Revisions to the current Agricultural Sampling Survey required to ‘tag’ farmer practices as ‘climate smart’ or not.
		Additional Notes / Comments: 21. TWG advised specifically tracking productivity gains associated with improvements / expansion of small-scale irrigation given its significance to rural livelihoods – including for both food security (major food crops) and rural incomes (high value crops) Major food crops include cereals, pulses and oil seeds. 22. High value crops include fruit and vegetable crops.						
	1.3 Increased productivity and resource efficiency of livestock sector	1.3.1 Emissions of CO ₂ -e per liter milk produced			MoA MRV system (revised) Agricultural Sampling Survey Livestock and Livestock Characteristics Survey	Bi-annually	MoA and CSA	Assumes the national GHG inventory and accounting protocols have been developed and are operational, and that sectors are accurately calculating their GHG emissions in line with internationally accepted methodologies (indicator requires quantification of GHG emissions from livestock sector – disaggregated by type of livestock)

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		Additional Notes / Comments: 23. Significance of indicator: CR Strategy for Agriculture emphasizes improved efficiency of cattle production. Looking for increased milk production but reduced GHG emissions per head of livestock. Alternative indicator could be emissions CO ₂ -e per head of livestock but this says nothing about improvements in milk production. 24. Milk production not tracked under GTPI, however indicator represents an improvement to current indicators proposed for GTPII: Quantity of milk produced (l); and Average daily milk obtained during lactation from an animal (l). (No baseline data currently provided for either in draft GTPII).						
		1.3.2 Productivity of communal pasture and rangeland (tons/ha) – feed / forage			Field surveys	Bi-annually	MoA and Regional counterparts	Ha of communal and pasture rangeland is known (woreda-level)
		Additional Notes / Comments: 25. Indicator represents an improvement to current indicator proposed for GTPII “Communal pasture and rangeland developed (Ha)” (no baseline currently identified)						
		1.3.3 Livestock diversification: (Change in) Number of cattle to number of poultry (ratio)	1:0.93 (2013/14) Source: 2013/14 Agricultural Statistical Abstract		Agricultural Sample Survey Annual Agricultural Statistical Abstract Livestock and Livestock Characteristics Survey	Annually	MoA and CSA	
		Additional Notes / Comments: 26. CR Strategy for Agriculture emphasizes transformation from beef to poultry production 27. Raw data for baseline calculation comes from the 2013/14 Agricultural Statistical Abstract (No. of cattle: 55,027,280; No. of poultry: 51,350,738)						
2 Forests and other natural resources protected and sustainably	2.1 Forest management practices improved	2.1.1 Cumulative area of land covered with forest (ha) ▪ Protected (%)	15.9 million ha Source: GTP Annual		MEF Annual Reports State of the Environment	Bi-annually	MEF & regional counterparts	‘forest’ to be defined by MEF (e.g. to include high forest area, woodland, shrubland, forest plantations, farm forests,

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
managed for their social, economic and ecosystem services		Under improved forest management systems and reduced carbon emissions practices (%)²	Progress Report, 2012/13		Report (MEF)			etc) Tracking changes in total forested area will require improved investment and monitoring technology. See program documentation for REDD+ in Oromia for examples.
		Additional Notes / Comments: 28. Current GTP indicators (also proposed under GTPII). 29. See also SOE Report 2008 and reference to a 2004 Woody Biomass Inventory and Strategic Planning Project (WBISPP) for definitions of 'forest' and calculation methods. More recently, see also the Draft Technical Report for Developing a Reference Level and Designing a MRV System for a REDD+ program in Oromia Regional State (DNV-GL, January 2015). 30. "improved forest management systems and reduced carbon emissions practices" may include community-based plans, catchment area plans, REDD+ systems, and other. 31. Tracking total forested area over time will provide indication of reforestation and deforestation trends nationally. Tracking % protected or actively managed provides an indication of the state of these forested areas. 32. In line with GCF indicator: Forest area under improved management and reduced carbon emissions practices (ha).						
		2.1.3 Change in household fuelwood consumption (kg)			Household Income and Consumption Expenditure Survey (CSA) Household energy consumption surveys	Every 4 years	MoWIE, MEF, CSA	Improved efficiency cookstoves, alternative fuels or technologies available and accessible.
		Additional Notes / Comments: 33. A 2002 MoA study (below) found that the average annual per capita household consumption of fuel wood in the Bonga Natural forest area was 1300 kg (SOE 2008) 34. MoA. (2002). Study on the Contribution of Forestry to Food Security in Ethiopia. Ministry of Agriculture. Addis Ababa. Ethiopia.						
	2.2 Land and	2.2.1 Total area			SLMP II	Annually	MoA, MEF, CSA	National adoption of

² In line with GCF indicator: Forest area under improved management and reduced carbon emissions practices (ha).

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	water resources management practices strengthened	(individual & communal) of land under sustainable, climate smart, land management plans			documentation			SLMP2 definition of 'sustainable, climate smart, land management plans'
		Additional Notes / Comments: 35. For definitions of “sustainable, climate smart, land management plans”, see SLMP2 project documentation (including M&E system). May include community-based plans, catchment area or watershed plans, REDD+ systems, and other. 36. Forest land and productive land under sustainable, climate smart, land management plans captured under Indicators 1.1.1 and 2.1.1.						
		2.2.2 Number and type of sustainable water management practice introduced			MoA / MEF / MoWIE Program / project documentation Annual reports	Annually	MoA, MEF, MoWIE, CSA	
		Additional Notes / Comments:						
3 Energy systems improved and modernized	3.1 Renewable energy generation capacity scaled-up and diversified	3.1.1 Installed capacity renewable energy, including from solar, wind, geothermal and/or biomass (type, GWh)		Proposed GTPII targets (2020): Solar: 525 GWh Geothermal: 9,461 GWh Biofuel: 2,410 GWh Wind: 1,971 GWh	MoWIE Program/ project documentation MoWIE Annual Reports	Annually	MoWIE	
		Additional Notes / Comments: 37. Targets in MoWIE CR Strategy related to share of total electricity mix (e.g. 20% wind/solar and 10% geothermal) 38. No baseline values could be found.						
	3.2 Energy saving technologies adopted and national energy	3.2.1 (Change in) Total power wastage (%)	21 % (2011)		MoWIE Program/ project documentation	Annually	MoWIE, Ethiopian Electric Power Corporation	

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	demand reduced				MoWIE Annual Reports			
		Additional Notes / Comments: 39. Indicator identical to that proposed under GTPII (no baseline or target data provided to date) 40. Includes wastage from both sub-stations and transmission lines.						
		3.2.3 Annual energy savings – disaggregated by type of energy saving measure (e.g. light bulb campaign, building design, cook stove initiatives, green fuels, efficient motors, etc) ³			Program/ project documentation Annual Reports from MOWIE, MOI, MOT and MUHCo	Annually	MOWIE, MOI, MOT and MUHCo Ethiopian Energy Authority (EEA)	Assumes strong baseline data from robust MRV system available (e.g. that sectors can calculate the energy requirements under a “business-as-usual” effort vs. an energy-saving initiative)
		Additional Notes / Comments: 41. Calculated as an aggregation of energy savings across energy efficiency projects (from all relevant sectors) 42. MoWIE CR Strategy suggests that the implementation of improved efficiency lighting (in residential, commercial and industrial settings) and motors (for industrial and irrigation usage) could reduce energy demand by 7,930 GWh by 2030, a reduction of 12%. 43. Indicator in line with proposed GCF indicator, and CIF CTF results framework.						
4 Green cities, buildings, transportation and industrial systems developed and safeguarded against climate risks	4.1 Green, climate resilient housing and urban areas developed	4.1.1 Total advanced waste disposal (volume/year): ▪ Solid waste ▪ Liquid waste			MUHCo Annual Reports	Annually	MUHCo	
		Additional Notes / Comments: 44. From Cities Prosperity Report – Ethiopia (UN-Habitat) 45. Green, climate resilient urban areas refer to improved urban planning and infrastructure. This includes improved codes, standards and policies for urban assets and services such as drainage systems, waste and wastewater management systems, urban renewal						

³ Indicator in line with proposed GCF indicator, and CIF CTF results framework.

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		plans, and urban green space. 46. 'Advanced waste disposal' refers to waste that has been collected, sorted, treated and disposed of using methods that are environmentally safe and socially acceptable.						
		4.1.2 Urban green area per capita (m ² /urban habitant)			MoUDC Annual Reports	Annually	MoUDC	
		Additional Notes / Comments: 47. Indicator from Cities Prosperity Report – Ethiopia (UN-Habitat)						
	4.2 Green, resilient industries strengthened for domestic & regional markets	4.2.1 Proportion of industrial facilities reported to be non-compliant with national EIA regulations			MOI Annual Reports	Annually	MOI	EIA regulations are enforced and mechanisms are in place for compliance 'spot checks' / site visits from MOI, and/or citizen reporting of environmental concerns
		Additional Notes / Comments: 48. MOI to ensure kebeles, woredas and regions are reporting non-compliance, as well as citizen grievances against industries.						
		4.2.2 Population exposure to air pollution (%), gender disaggregated			MOI Annual Reports State of Environment Reports (SOEs)	Annually	MOI and MEF	
		Additional Notes / Comments: 49. OECD GG indicators include "Human exposure to air pollution", including PM2.5, PM10. Ozone 50. Ethiopia currently has limited data on air quality (SOE, 2008)						
	4.3 Low carbon climate resilient transportation modes expanded and adopted	4.3.1 Total length of low carbon transit network built (kms) – disaggregated by type: ▪ Bike lanes ▪ Rail ▪ Light rail			MoT Annual Reports Program/project documentation	Annually	MOT with data from the Transport Authority	

Objective	Outcome/ Output	Indicator (<i>unit</i>)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		- Public transport systems - Pedestrian sidewalks						
		Additional Notes / Comments:						
		4.3.2 Household modal share (by transportation type) ⁴ - Walking - Bicycle - Bus - Rail			Transportation surveys	Every 5 years	MOT with data from the Transport Authority	
		Additional Notes / Comments: 51. In line with GCF indicator						
CO-BENEFITS (* all CRGE-relevant initiatives should report on a minimum of 1 co-benefit indicator under Pillar 5)								
5 Climate resilient and green economic growth is socially equitable and inclusive , addressing the underlying drivers of vulnerability to climate risks.	5.1 Food Security	5.1.1 Average net number of months of HH food insecurity (no.) – disaggregated by female & male-headed households			PSNP documentation and data collection methods	Bi-annually	Food Security Coordination Directorate (FSCD) – MoA	
		Additional Notes / Comments: 52. PSNP indicator defined as “Months of household food insecurity when PSNP transfers are excluded. See FSCD (MoA), or PSNP documentation, for further details.						
	5.2 Rural incomes & green jobs	5.2.1 Average value of household			PSNP documentation	Bi-annually	Food Security Coordination	

⁴ In line with GCF indicator.

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		assets (%) – disaggregated by female & male- headed households			and data collection methods		Directorate (FSCD) – MoA	
		Additional Notes / Comments: 53. PSNP indicator to measure the value, in monetary terms, of household assets. See FSCD (MoA), or PSNP documentation, for further details.						
		5.2.2 Proportion of employment in environmental goods and services sectors (%)			National Labour Force Survey Urban employment / unemployment survey Employment Survey of Addis Abeba	Every 5 years	CSA	
		Additional Notes / Comments: 54. OECD GG indicator. Expressed as % of total employment, includes water supply, sewerage, waste management and remediation activities						
		5.2.3 Number of households reporting a wider variety of livelihood strategies (disaggregated by male and female- headed)			National Labour Force Survey Household Income, Consumption and Expenditure Survey (HICES) Welfare Monitoring Survey	Every 5 years	CRGE Secretariat (MoFED and MEF) and CSA	
		Additional Notes / Comments: 55. Variation of GCF (including AF, GEF & PPCR)						

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
	5.3 Health & well-being	5.3.1 Incidence of climate related disease (# of reported cases per 1,000 population)			District Health Surveys Welfare Monitoring Survey MoH Annual Reports	Annually	MoH and Regional Counterparts	
		Additional Notes / Comments: 56. “climate induced disease” includes malaria, cholera, dengue and others. See Climate Resilience Strategy for the Ministry of Health (currently under development at the time of writing) for more information.						
	5.4 Access to basic services	5.4.1 Number of women and men with improved access to basic services (%) <i>** See High Level Results Indicators from PBS for specific indicators to align with</i>			PBS Program Documentation	Annually	MoFED (as IE for PBS) together with MoE, MoH, MoWIE, MoA / CSA, Ethiopian Roads Authority (MoT)	
		Additional Notes / Comments: 57. “access to basic services” defined as access to services including education, health, agriculture, water supply and sanitation, as well as access to rural roads (** does not include currently include indicators related to access and connectivity to electricity. See indicators 5.2.2) 58. Proposed refinement to PBS Water and Sanitation indicators (MoWIE) to capture the following: No. of households with year-round access to adequate potable water (quality & quantity) [GCF indicator 2.2]						
		5.4.2 Number of women and men accessing low emission or improved efficiency energy technologies ■ Rural (W/M)			Program/project documentation Annual Reports – MoWIE and MoT	Annually	MoWIE, MoT	

Objective	Outcome/ Output	Indicator (<i>unit</i>)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		▪ Urban (W/M)						
		Additional Notes / Comments: 59. An aggregation / elaboration of what MoWIE is currently collecting on in their FTI: Number of people with access to improved cooking technologies (FTI); Number of beneficiaries of solar energy technologies (FTI) 60. “ <i>low emission</i> ” energy technologies include renewable energy options, both on and off-grid systems (e.g. solar power generating stations and household mini-solar technologies) 61. “ <i>improved efficiency</i> ” energy technologies may include improved cookstoves, energy efficient lightbulbs.						
		5.4.3 Number of people using low emission transport – disaggregated by women and men			Transportation surveys	Every 5 years	MOT / Ethiopian Roads Authority (ERA)	
		Additional Notes / Comments: 62. “ <i>low emission transport</i> ” includes walking, cycling, taking public transit (including light rail), or train. 63. Consider limiting this indicator to only women and men in urban environments given limited availability of low emission transport modes for rural populations currently.						
	5.5 Gender and differential vulnerability	5.5.1 Gender sensitivity of CRGE policies, plans, regulations and sector strategies			Gender sensitive analysis	Every 5 years	Ministry of Children, Youth and Women	
		Additional Notes / Comments: 64. In an effort to ensure gender and differential vulnerability considerations have built into the CRGE, key performance indicators of the CRGE results matrix have been designed to be gender-sensitive. To monitor the gender sensitivity of the CRGE, a gender sensitive analysis of CRGE achievements will be completed every 5-years, in line with the national development planning cycles.						
CRGE ENABLERS (* all sectors – starting with all CRGE priority sectors – should be required to annually report on each of the CRGE enabler indicators, showing evidence of a supportive, enabling environment for progress towards CRGE Outcomes)								
	A. Data and information for decision support: Increased generation and use of climate information in decision-making	A.1 Evidence of strengthened government capacity to collect, analyse and apply climate information to decision-making			CRGE scorecards (see Sample in Annex of draft M&E System Manual)	Annually	CRGE Secretariat and all CRGE priority Ministries; National Met Agency (NMA)	

Objective	Outcome/ Output	Indicator (<i>unit</i>)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		Additional Notes / Comments: 65. Variation on GCF core indicator 6.1 66. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						
		A.2 Perception of men, women, vulnerable populations, and emergency response agencies of the timeliness, content and reach of early warning systems			Household survey Survey of managers of emergency response agencies with data disaggregated by sex.	Every 5 years	Disaster Risk Management and Food Security Sector	
		Additional Notes / Comments: 67. GEF, GCF Core Indicator (6.2) 68. Consider developing an opportunistic monitoring tool to elicit community members input into timeliness, content and reach of EWS following an advisory (e.g. a HH questionnaire or community "town-hall" style meeting)						
		A.3 Number and value of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (e.g. to heat, humidity, wind velocity, floods) ⁵ – disaggregated by type			Asset management plans Annual reports from: MoT, MoI, MoWIE, MoA, MoUDC	Annually	CRGE Secretariat and all CRGE priority Ministries	
		Additional Notes / Comments:						

⁵ In line with GCF and AF indicators

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		69. Types of “physical assets” may include roads, bridges, power facilities, wastewater treatments plants, irrigation systems, buildings (residential or commercial) 70. “strengthened or constructed to withstand conditions resulting from climate variability and change” means that current and/or future climate information related to changes in heat, humidity, floods, wind) has been used to inform asset design (e.g. engineering plans) 71. Assumption here is that if physical assets have been strengthened or constructed to withstand CV/CC, some form of climate information has been used. 72. In line with GCF and AF indicators [GCF Indicator 3.1]						
	B. Greenhouse gas inventory and measurement, reporting and verification (MRV) systems: Strengthened government systems to measure, report and verify GHG emissions and reductions	B.1 Number of sectoral MRV systems designed and operational			Annual sector reports	Annually	CRGE Secretariat and all CRGE priority Ministries	
		Additional Notes / Comments: 73. “designed and operational” requires that MRV systems are contributing to regular reporting on sector or project-based GHG emissions and/or emissions savings						
	C. Policies, plans and regulations: Strengthened government institutional and regulatory systems for green, climate resilient development planning	C.1 Degree of integration/mainstreaming of climate change in national and sector planning and coordination			CRGE scorecards (see Sample in Annex of draft M&E System Manual)	Annually	CRGE Secretariat and all CRGE priority Ministries	
		Additional Notes / Comments: 74. Variation on GCF, CIFs PPCR & AF						

Objective	Outcome/ Output	Indicator (unit)	Baseline (year)	Target (2020)	Data Sources and Collection Methods	Frequency	Responsible Agency	Assumptions
		75. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						
	D. Knowledge, skills and capacities: Strengthened government capacities to plan, resource and deliver green, climate resilient development results	D.1 Extent to which sectors use improved tools, instruments, strategies and activities to respond to climate variability and climate change			CRGE scorecards (see <i>Sample in Annex of draft M&E System Manual</i>) Project / programme documentation (HHs, communities & businesses)		CRGE Secretariat and all CRGE priority Ministries	
		Additional Notes / Comments: 76. GCF (PPCR and GEF) 77. CRGE Secretariat will coordinate sectoral and national scoring using CRGE scorecards.						
		D.2 National CRGE Capacity Assessment Score			CRGE Capacity Assessment Tool	Annually	CRGE Secretariat and all CRGE priority Ministries (using self-reported methods outlined in the NCDF)	
		Additional Notes / Comments: 78. Currently, from the draft Capacity Assessment Tool reviewed, modal scores are given for each of the 4 capacity areas.						

4. TEMPLATE – PERFORMANCE INDICATOR REFERENCE SHEETS

Performance Indicator Reference Sheet			
CRGE Pillar (Sector Impact):			
CRGE sub-Pillar (Sector Outcome):			
Indicator:			
Date Established:		Date Last Reviewed:	
A. DESCRIPTION			
Definition(s):			
Unit of Measure:			
Disaggregated by:			
Justification & Management Utility:			
B. PLAN FOR DATA COLLECTION			
Data collection method:			
Data Source:			
Frequency and timing of data collection:			
Estimated cost of data acquisition:			
Individual(s) responsible:			
Location of Data Storage:			
C. PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING			
Data Analysis:			
Presentation of Data:			
Review of Data:			
Reporting of Data:			
D. DATA QUALITY ISSUES			
Date of Initial Data Quality Assessment:			
Known Data Limitations and Significance (if any):			
Actions Taken or Planned to Address Data Limitations:			
Date of Future Data Quality Assessments:			
Procedures for Future Data Quality Assessments:			
E. PERFORMANCE DATA TABLE			
Rationale for Selection of Baselines and Targets:			
Method of Calculation:			
Key to Table:			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
THIS SHEET LAST UPDATED ON:			

Instructions for Completing the Performance Indicator Reference Sheet	
CRGE Pillar (Sector Impact): Use either: 1 Agricultural systems strengthened using low carbon, climate resilient practices; 2 Forests and other natural resources protected and sustainably managed for their social, economic and ecosystem services; 3 Increased energy efficiency and electricity generation from diversified, climate resilient renewable sources; 4 Green cities, buildings, transportation and industrial systems developed and safeguarded against climate risks; or 5 Climate resilient and green economic growth is socially equitable and inclusive, addressing underlying drivers of vulnerability to climate risks.	
CRGE sub-Pillar (Sector Outcome): Enter the number and full name of the relevant sub-pillar	
Indicator: Enter the full title of the indicator.	
Date Established:	Date Last Reviewed:
A. DESCRIPTION	
Precise Definition(s): Define the specific words or elements used in the indicator.	
Unit of Measure: Enter the unit of measure (<i>number of...</i> , <i>percent of...</i> , or <i>Birr</i>). Clarify the minimum or maximum values if needed (<i>minimum score is 1.0 and maximum score is 5.0</i>). Clarify if the number is cumulative or specific to the year. Clarify numerator and denominator if applicable.	
Disaggregated by: List any planned ways of disaggregating the data (<i>male/female, youth/adult, urban/rural, region, etc.</i>) and justify why useful.	
Justification & Management Utility: Briefly describe <i>why</i> this particular indicator was selected and <i>how</i> it will be useful for managing performance of the CRGE? If the value of this indicator changes, what does this indicate about the programme?	
B. PLAN FOR DATA COLLECTION	
Data collection method: Describe the <i>tools</i> and <i>methods</i> for collecting the raw data. Examples include: surveys, document review, structured interviews, focus group interviews, direct observation, self-reported information, and so on. Who collects the raw data and where is it stored before it gets to end user?	
Data Source: Identify the source of data (e.g., DHS survey; ministry data; implementing partner records)	
Frequency and timing of data collection: Describe <i>how often</i> data will be received by the CRGE Facility, Implementing Entity, and other levels and <i>when(calendar)</i> .	
Estimated cost of data acquisition: If possible, estimate the cost (in Birr and/or level of effort) of collecting, analyzing and providing the data to the CRGE Facility.	
Individual(s) responsible: Identify the specific team member, or position, who will be <i>directly responsible</i> for collecting the data at each level.	
Location of Data Storage: Identify where the data will be maintained in the Implementing Entity (e.g., specific file cabinet, or specific folder on shared computer).	
C. PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING	
Data Analysis: Describe <i>how</i> the raw data will be analyzed, <i>who</i> will do it, and <i>when</i> .	
Presentation of Data: Describe how tables, charts, graphs, or other devices will be used to present data, either internally within the Implementing Unit, or externally to the CRGE Facility or other stakeholders.	
Review of Data: Describe <i>when</i> and <i>how</i> the Facility will review the data and analysis (e.g., during project reviews, internal reviews, or activity-level reviews with Implementing Entities).	
Reporting of Data: List any internal or external reports that will feature the data and/or analysis of this indicator (e.g., Annual Report data tables, Annual Report narrative, or donor reports).	
D. DATA QUALITY ISSUES	
Date of Initial Data Quality Assessment: Enter the date of initial data quality assessment and the responsible party.	
Known Data Limitations and Significance (if any): Describe any data limitations discovered during the initial data quality assessment. Discuss the significance of any data weakness that may affect conclusions about the extent to which performance goals have been achieved.	
Actions Taken or Planned to Address Data Limitations: Describe how you have or will take corrective action, if possible, to address data quality issues.	
Date of Future Data Quality Assessments: Enter the planned date for subsequent data quality assessments.	
Procedures for Future Data Quality Assessments: Describe <i>how</i> the data will be assessed in the future (e.g., spot checks of partner data, financial audit, site visits, or software edit check).	
E. PERFORMANCE DATA TABLE	
Rationale for Selection of Baselines and Targets: Explain how the baselines and targets were set and identify any assumptions made. If baselines and targets have not been set, identify <i>when</i> and <i>how</i> this will be done.	
Method of Calculation: Describe all methods used to calculate the result. Describe denominators and nominators fully.	

Key to Table: Describe the start and the end of the reporting year. Is data cumulative or annual?
--

5. TEMPLATES – QUARTERLY AND ANNUAL REPORTING

NOTE: The following two templates were provided by the CRGE Facility Secretariat on April 2, 2015, and have not been modified, other than minor changes to formatting.

**GOVERNMENT OF THE
FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA**
Ministry of Finance and Economic Development -CRGE
Facility Quarterly/Annual Reporting Template

Project Title:
Implementing Entity (IEs) responsible:
Executing Entity (EEs) ⁶ :

[Reporting Period]
[Date of submission]
Addis Ababa

⁶ Includes Woredas and non-state actors working with IEs

General Project Information

Region:

Wereda:

Specific Site:

Project Title:

Implementing Entity:

Non-state Executing Entity (if any):

Estimated Project Duration:

Estimated Project Budget:

Project Commencement Date:

Expected Project Outcome(s):

Section 1: Introduction: This is one of the most important components of the report.

It should begin with a clear and brief statement of what the project is about.

It should summarize everything you set out to achieve.

This section should also be used to highlight any major issues that may have occurred in the reporting period.

Section 2: Project Physical Plan Progress: These part gives details of planned activities, achievements against plan, indicators to achieve the plan and any divergence from plan if, there is any. The table below guides how to integrate all activities results in this section.

NO	Expected Outputs ⁷ for the period	Indicators of the outputs	Activity status at the beginning of reporting period (%)	Activity plan and achievement for the reporting period		Activity Status to date (%)	Remarks
				Plan (%)	Achievement (%)		
1	2	2	3	4	5	3+5	
Section 3: Environmental and Social Safeguards							
	In this section, provide the environmental and social safeguards related activities accomplished during the reporting period.						
Section 4: Conclusion/ Challenges Encountered							
In this section, provide key challenges or problems encountered during the reporting period including action taken and key lessons learned if there is any. The project's conclusions should list the things which have been learnt as a result of the work you have done.							
This section should include the future work plan and shows if there are any changes due to divergence in plan of this period.							

⁷ When annual report is prepared, information/indicators on outcomes are expected and reports on outputs must refer to the respective projects/programmes outcomes.

Section 5: Annexes (if there is any): This section is for all supporting documentation.
• Annex 1 – Any M&E reports for the period • Annex 2 – Technical records

SOURCES AND USES OF FUNDS BY -----FOR THE QUARTER ENDED -----

Description	Brought forward (previous cumulative)	Quarter	Current Cumulative	Forecast: Next Six months		
				1 st Quarter	2 nd Quarter	Total
Sources:						
Donors						
Government						
TOTAL (1)						
Uses:						
Actual Expenditure Incurred						
Operating Costs						
Civil Works						
Consultancy						
Supervision						
Goods						
TOTAL (2)						
Sources Less Uses (1-2)						
Add: Opening Fund Balance at CRGE Account						
Net Available & Closing Fund Balance						

Interim Financial Report for CRGE Project

For the Quarter From -----to -----

Description	Current Quarter			Cumulative Forecast					
	Planned	Actual	Variance	Planned	Actual	Variance	Planned	Actual	Variance
<u>Sources of Funds</u>									
Government Fund									
Donors Fund									
Others									
Total Sources									
<u>Expenditures</u>									
Consultancy									
Goods									
Operating Costs									
Training									
Others									
Total									
Excess of Sources/Receipts Over Expenditures/Pay ments									

Prepared By: -----Checked By: -----Approved By: -----

6. EXAMPLE – SCORECARD TO MEASURE PROGRESS ON CRGE ENABLERS

CRGE Scorecard (SAMPLE)

Date of Report: mm/dd/yy

CRGE Indicator: Degree of integration/mainstreaming of climate change in national and sector planning and coordination					
Data Collection Method: Data scored at the sector (1st) and country (2nd) level					
Reporting Period:		From: mm/dd/yy		To: mm/dd/yy	
For each CRGE priority sector, complete the following table (additional sectors can be added at the bottom):	Is there an approved climate change plan for the nation/sector?	Have green, climate resilient strategies been embedded in the central government's/sector's principal planning documents?	Has responsibility been assigned to institutions or persons to integrate green, climate resilient planning?	Have specific measures to address climate resilience and green economy been identified and prioritized? e.g. investments and programs	Do all planning processes routinely screen for climate risks, green opportunities, and any co-benefits that may exist?
a	b	c	d	e	f
National Planning					
<i>Briefly comment on each score</i>					
Agriculture					
<i>Briefly comment on each score</i>					
Water, Irrigation & Energy					
<i>Briefly comment on each score</i>					
Environment & Forests					
<i>Briefly comment on each score</i>					
Transport					
<i>Briefly comment on each score</i>					
Urban Development & Construction					
<i>Briefly comment on each score</i>					
Industry					
<i>Briefly comment on each score</i>					

Score each cell with a score between 0 and 10 where 0 = No, 5 = Halfway and 10 = Yes completely

Lessons learned: What have been the key successes when integrating climate change in national, including sector planning?

1.
2.
What have been the key challenges and what opportunities for improvement do you see?
3.
4.

7. TEMPLATE - MISSION REPORTING

Programme / project name:	
Mission duration:	
Regions visited:	
Woredas visited:	
Kebeles visited:	
Mission participants (list all):	Name, organization, position
Prepared by:	
Overall summary of mission:	

Background to the mission: (any necessary context to understand why the mission was undertaken, be concise)
Objectives of the mission: (use bullets)

People and organizations met during the mission:	
Mission itinerary (add rows as needed):	
<i>Date</i>	<i>Key activities</i>
Summary of team observations (strengths and weaknesses, add rows as needed):	
<i>Name of Woreda</i>	<i>Observations</i>

Summary of key recommendations for improvement including responsible person (add rows as needed):	
<i>Recommendation / action point</i>	<i>Responsible persons (note responsibilities at FIE, RIE and Woreda levels)</i>

8. Template for Risk Monitoring Tool and Procedure

Name of the Project	Monitorable risk factors on the scale of (1-3) = (3 high, 2 medium and 1 low)														
	Operational Risk					Fiduciary Risk			Strategic Risk as per the risk analysis in the project document and risk and issue log during implementation e.g. as below					Overall risk level	
	Financial delivery as per AWP		Substantive delivery as per AWP	Quality of result- Progress towards KPI	Implementation of ESS M/Plan as per finding of Quarterly Monitoring	Finding of quarterly spot check	Audit opinion (annual)	Implementation of audit finding	Funding gap (e.g. co-financing)	Policy shift	Natural disaster	Human made disaster	Stakeholders opinion community, PSC, etc)		
	Cash flow as per AWP	Financial report as per AWP													
1.															
2.															
3.															
4.															
5.															
6.															
7.															
8.															
9.															
10.															
11.															
12.															
Scoring rule	1-cash flows is 100%	1-financial report is 100%	1-ahead /On schedule	1- achieved/on track	1-fully implemented	1-satisfactory	1- unqualified	1-fully addressed	1-no funding gap	1-no shift	1-no risk	1-no risk	1- Favorable opinion		
	2-Cash flows is <70%	2-financial report <70%	2- is 50% - 70% of plan	2- slight lagging	2- partially implemented	2. satisfactory with comment	2- unqualified with comment	2-partially addressed	2-likely funding gap	2. slight priority shift	2. moderate risk	2- moderate risk	2-some issues raised by SHs		
	3-cash flows is <50%	3-financial report is <50%	3- is < 50%	3- major deviation	3 – substantially not implemented	3. unsatisfactory	3-qualified	3-not insignificant response	3. confirmed funding gap	Substantial shift	3. high risk	3-high risk	3- significant concern by SH		
N.B. - cash flow should also include direct payment by the facility (e.g. for international procurement) or payment arrangement through central bulk purchase arrangement															
- The annual report and quarter reporting template will embed attaching percentage to activity results so that physical reporting is facilitated.															
- Key performance indicators															
- ESSMP= Social & Environmental Management Plan, PSC= Project Steering Committee															

9. Terms of Reference (ToR) – Template for Final Evaluation

I. Background and Context:

Ethiopia has officially declared its intention to pursue a green growth development path and to seek to de-couple emissions from economic growth and structural transformation of the economy. This started with the Ethiopian Climate Resilient Green Economy (CRGE) Strategy which identified several initiatives which will ultimately lead to GHG emission reduction and resilience building. The CRGE initiative has led to the establishment of new institutions, new efforts in capacity building and financial resource mobilization, and has triggered comprehensive climate risk and vulnerability analyses. A critical part of the institutional arrangement is the CRGE Facility (The Facility), the national financing mechanism that has been created to support the implementation of the CRGE. The Facility has particularly a mandate to evaluate initiatives assisted through the Facility and promote accountability for results and draw lessons to inform the development of the next programme phases.

This standard term of reference is designed for end of the programme/project evaluation by independent or external evaluators. It serves the *stakeholders* to clarify expectations regarding evaluation focus and process, *the evaluation team* to use it as a reference point to ensure that expectations are clear, and the *evaluation manager (s)* to establish performance benchmarks, means to encourage good evaluation practice and means to establish steps for quality assurance. Thus, it provides information on why do we evaluate the programmes/projects, what related to the programmes/projects will we evaluate, how will we evaluate, who will evaluate it and by what means, and what are the expected evaluation products.

II. Purpose of the Evaluation

The overall purpose of the end of programme/project is to assess the processes and achievements made to draw lessons that will inform the development of the next project/prgramme. That is, the nature of this evaluation is a summative type and thus determines the extent of achievement of programme/project results and generates knowledge from the entire implementation period of the interventions.

This evaluation is intended to be forward looking which will capture effectively lessons learnt and provide information on the nature, extent and where possible, the effect of the interventions to the Government of Ethiopia and the development partners. The emphasis on learning lessons speaks to the issue of understanding what has and what has not worked as a guide for future planning.

III. Scope and focus of the Evaluation

The evaluation at least will look at the following areas: Project management; project activities; partnerships with the Government of Ethiopia and partnerships with other development partners. It will address the results achieved, the partnerships established, as well as issues of capacity and approach.

a) The Evaluation Questions

The following key questions will guide the end of project evaluation:

1) **Relevance** – Assess design and focus of the project/programme

- To what extent did the Project/programme achieve its overall objectives?
- What and how much progress has been made towards achieving the overall outputs and outcomes (including contributing factors and constraints);



-
- To what extent were the results (impacts, outcomes and outputs) achieved?
 - Were the inputs and strategies identified, and were they realistic, appropriate and adequate to achieve the results?
 - Was the project/programme relevant to the identified needs?
- 2) **Effectiveness-** Describe the management processes and their appropriateness in supporting delivery
- Was the project/programme effective in delivering desired/planned results?
 - To what extent did the Project's M&E mechanism contribute in meeting project/programme results?
 - How effective were the strategies and tools used in the implementation of the project/programme?
 - How effective has the project been in responding to the needs of the beneficiaries, and what results were achieved?
 - What are the future intervention strategies and issues?
- 3) **Efficiency – Of Project/Programme Implementation**
- Was the process of achieving results efficient? Specifically did the actual or expected results (outputs and outcomes) justify the costs incurred? Were the resources effectively utilized?
 - Did project activities overlap and duplicate other similar interventions (funded nationally and/or by other donors? Are there more efficient ways and means of delivering more and better results (outputs and outcomes) with the available inputs?
 - Could a different approach have produced better results?
 - How efficient were the management and accountability structures of the project/programme?
 - How did the project/programme financial management processes and procedures affect project implementation?
 - What are the strengths, weaknesses, opportunities and threats of the project's/programme's implementation process?
- 4) **Sustainability- of results/benefits after completion of the projects/programmes**
- To what extent are the benefits of the projects likely to be sustained after the completion of this project/programme?
 - What is the likelihood of continuation and sustainability of project outcomes and benefits after completion of the project/programme?
 - How effective were the exit strategies, and approaches to phase out assistance provided by the project/programme including contributing factors and constraints
 - Describe key factors that will require attention in order to improve prospects of sustainability of Project/programme outcomes and the potential for replication of the approach?
 - How were capacities strengthened at the individual and organizational level (including contributing factors and constraints)?
 - Describe the main lessons that have emerged?
 - What are the recommendations for similar support in future?
 -
- N.B. The recommendations are expected to provide comprehensive proposals for future interventions based on the current evaluation findings).

IV. Methodology for Evaluation

Generally, the CRGE Secretariat shall guide and oversee the overall direction of the consultancy and the evaluation will provide quantitative and qualitative data through the following methods:

- Desk review of all relevant project/programme documentation including project/programme documents, annual work-plans, project progress reports, and annual project reports;
- In depth interviews to gather primary data from key stakeholders using a structured methodology;
- Focus Group discussion with project/programme beneficiaries and other stakeholders;
- Interviews with relevant key informants (institutions);
- Observations (field visits using checklist)
-

V. Expected Deliverables:

The following deliverables are expected

a. Inception Report :

An inception report, outlining the key scope of the work and intended work plan of the analysis, and evaluation questions, shall be submitted after 5 days of commencing the consultancy. The evaluators will prepare an inception report which will outline the scope of work, intended work plan and analysis. The inception report will provide the CRGE Secretariat and key stakeholders the opportunity to verify that they share the same understanding about the evaluation objectives. The inception report should detail the evaluators' understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods; proposed sources of data; and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product. The inception report will be discussed and agreed upon with all stakeholders.

b. A Draft Comprehensive Report -(to be submitted within 15 days upon completion of the evaluation process):

The draft report will inform all the key stakeholders including: the CRGE secretariat, Development Partners, and the CRGE sectors. The draft final report shall contain the same sections as the final report. The draft report will be submitted to the Monitoring and Evaluation Specialist of the CRGE Facility Secretariat and copied to other Facility team members. The CRGE Secretariat comments within 10 days after the reception of the Draft Report. The Facility and key stakeholders in the evaluation should review the draft evaluation report to ensure that the evaluation meets the required quality criteria.

c. The Final Evaluation Report This will be submitted 7 days after receiving comments from the CRGE Facility Secretariat on the draft report.

The final report will be 20 to 30 pages and will be sent to the Monitoring and Evaluation specialist of the CRGE Facility Secretariat and copied to the CRGE Facility team (evaluation team). The content and structure of the final analytical report with findings, recommendations and lessons learnt covering the scope of the evaluation should meet the requirements of the CRGE Facility M&E standard and should include the following:

- _ Executive summary (1-2 pages)
- _ Introduction (1 page)
- _ Description of the evaluation methodology (6 pages)

-
- _ Situational analysis with regard to the outcome, outputs, and partnership (6-7 pages)
 - _ Analysis of opportunities to provide guidance for future programming (3-4 pages)
 - _ Key findings, including best practices and lessons learned (4-5 pages)
 - _ Conclusions and recommendations (4-5 pages)
 - _ Appendices: Charts, terms of reference, field visits, people interviewed, documents reviewed

VI. Required Expertise and Qualification

The consulting firm/ evaluator shall have at least the following expertise and qualification:

- Relevant education background and experiences: at least master's degree in Relevant fields like: International Development, Development Economics/Planning, Economics, Environmental Economics, other relevant and related university degree; Extensive expertise, knowledge, and experience in the field of development and climate change and should provide copies of evidence of their experience and expertise.

10. CRGE Facility Project/Programme Closure Template

- I. **Project Closure Report Prepared By** *[List all document owners & role within organization]*
- II. **Project Closure Report Version Control** *[List all reports with the relevant version number hereunder]*
- III. **General Project Information** *[Expand this section to include more information if needed for the project]*

	Description
Project Name	<i>[Project name]</i>
Project Description	<i>[Description of project]</i>
Project Manager	<i>[Project Manager name]</i>
Sector	<i>[Sector of Project implementation]</i>
Region	<i>[Region of Project Implementation]</i>
Project Financed by	<i>[Project Sponsor name]</i>

	Baseline	Actual	Variance	% Variance
Project Start Date	<i>[mm/dd/yyyy]</i>	<i>[mm/dd/yyyy]</i>	<i>[000 days]</i>	<i>[00.0%]</i>
Project completion Date	<i>[mm/dd/yyyy]</i>	<i>[mm/dd/yyyy]</i>	<i>[000 days]</i>	<i>[00.0%]</i>
Budget	<i>[ETB 0,000.00]</i>	<i>[ETB 0,000.00]</i>	<i>[ETB 0,000.00]</i>	<i>[00.0%]</i>

IV. PROJECT CLOSURE REPORT SUMMARY

- a) **Project Background Overview** *[What were the original goals, objectives, and success criteria? Refer to project overview statement and/or project charter for this information]*
- b) **Project Highlights and Best Practices**
- c) **Project Closure Synopsis** *[Is it being closed because all project objectives and deliverables have been met? Or is it being closed for other reasons (loss of funding, shift in strategy, etc.)?]*

V. PROJECT/PROGRAMME METRICS PERFORMANCE

- a) **Goals and Objectives Performance** *[Compare actual project performance to project objectives]*
- b) **Success Criteria Performance** *[Were all criteria achieved? To what level of success? If some criteria were not achieved, what were the reasons? Is achievement anticipated at a later date?]*
- c) **Milestones and Deliverables Performance** *[Were all deliverables achieved with high quality and customer acceptance? If not, what were the reasons? Is achievement anticipated at a later date?]*
- d) **Schedule Performance** *[Project Schedule Overview, Project Schedule Control Process and Project Schedule Corrective Actions - if undertaken]*
- e) **Budget Performance** *[Project Budget Overview and corrective actions undertaken]*

VI. PROJECT CLOSURE TASKS

- a) **Administrative Closure** *[Procedures to transfer the project products or services to production and/or operations; stakeholder approval for all deliverables; confirmation that the project has met all sponsors, clients, and other stakeholder's requirements; verification that all deliverables have been provided and accepted; validation that completion and exit criteria have been met; regulatory compliance items.]*
- b) **Resource Management** *[What resource needs changed during the project? Explain how project knowledge from project team members will be captured and retained for future projects].*
- c) **Risk Management** *[Project Risks Mitigated and Outstanding Risks]*
- d) **Quality Management** *[Describe how quality management processes were used and integrated into the project, and how quality control measures provided quality assurance].*
- e) **Asset Management** *[List assets that are remaining at the end of the project and how those assets will be dispositioned]*
- f) **Lessons Learned** *[Project lessons learned including the cause of issues, reasoning behind the corrective action chosen, and other types of lessons learned. Identify and discuss specific issues that challenged the project/project team]*
- g) **Post project Tasks** *[List of outstanding issues for this project]*
- h) **Project Closure Recommendations** *[Recommendations arising from review of closure tasks]*

VII. PROJECT CLOSURE REPORT APPROVALS

The undersigned acknowledge they have reviewed the **Project Closure Report** and agree with its contents. Changes to this **Project Closure Report** will be coordinated with and approved by the undersigned or their designated representatives.

Prepared by (Name): _____

Signature: _____

Title: _____

Date: _____

Approved by (Name): _____

Signature: _____

Title: _____

Date: _____

Approved by (Name): _____

Signature: _____

Title: _____

Date: _____

ENDNOTES

¹ See Section 4 of the Climate Resilient Green Economy (CRGE) Facility Operations Manual for information on the Facility's structure and governance, pages 39 to 48.

² CRGE Facility Operations Manual, page 26.

³ Definitions are adapted from the CRGE Facility Operations Manual, pages 11 and 12.

⁴ Ethiopia's regions are as follows: Addis Ababa (city administration); Afar Region; Amhara Region; Benishangul-Gumuz Region; Dire Dawa (city administration); Gambela Region; Harari Region; Oromia Region; Somali Region; Southern Nations Nationalities and Peoples' Region; and Tigray Region.

⁵ See Section 12 of the CRGE Facility's Operations Manual.

⁶ The components align with MoFED's Guidelines for Monitoring and Evaluation of Public Sector Projects (June 2008), page 22, section 2.2.3.

⁷ ESSA Technologies Ltd. has designed a draft CRGE Facility Results Matrix on Operational Effectiveness, which is available on the CRGE Registry and from the CRGE Facility Secretariat upon request. [CRGE Facility: Confirm how this results matrix will be made available to the public and implementing partners.]

⁸ ESSA Technologies Ltd. has designed a draft CRGE Results Matrix, which is available on the CRGE Registry and from the CRGE Facility Secretariat upon request. [CRGE Facility: Confirm how this results matrix will be made available to organizations implementing CRGE-relevant activities that are not funded through the Facility.] As discussed with the Technical Working Group and the Facility Secretariat, key performance indicators from the CRGE Strategy results matrix could well be adopted into GTPII indicator matrices. In this way, GTPII monitoring and reporting systems could track national results under the CRGE Strategy (including from both Facility-financed and non-Facility financed actions).

⁹ At the time of completing this manual (May 15, 2015), GTPII had not been finalized – or at least the consulting team had not had access to it.

¹⁰ Objectives and related indicators align with at least ten of the seventeen goals under proposed Sustainable Development Goals.

<https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1579SDGs%20Proposal.pdf&embedded=true>

¹¹ Put simply, a Theory of Change “defines all building blocks required to bring about a given long-term goal.” It articulates a roadmap or pathway of interventions required to bring the change about and related assumptions. “Assumptions explain both the connections between early, intermediate and long term outcomes and the expectations about how and why proposed interventions will bring them about.”

<http://www.theoryofchange.org/what-is-theory-of-change/>

¹² MoFED (2008). Guidelines for Monitoring and Evaluation of Public Sector Projects, page 25.

¹³ Baseline setting can occur before selecting indicators, as information on the baseline situation is important for refining programme / project design. However, collecting baseline data before indicators are selected can be risky because indicator calculations might not end up aligning with the baseline data collected.

¹⁴ For example, MoA is developing an M&E framework for sectoral CRGE (Agriculture Sector CRGE Fast Track Project Proposal, Technical Assistance and Capacity building on M&E, MRV and long term Investment plan for selected Agricultural Sector CRGE Fast Track Project Woredas). Baseline development is a significant part of this.

¹⁵ “M&E is recognized as an important activity of the project cycle and efforts are exerted to put M&E system in place, [but a] lack of budget, logistics support and trained staff are found to seriously hamper its materialization”. MoFED (2008). Guidelines for Monitoring and Evaluation of Public Sector Projects, page 84.

¹⁶ Catholic Relief Services (nd). M&E in Emergencies: Tips and Tools. <http://aimstandingteam.files.wordpress.com/2012/01/14-design-how-to-budget-for-m-and-e.pdf>; Chaplowe, S.G 2008. Monitoring & Evaluation Short Cuts. American Red Cross. http://pdf.usaid.gov/pdf_docs/pnadq477.pdf ; ITAD. 2014. Investing in Monitoring, Evaluation and Learning: Issues for NGOs to Consider. Prepared by ITAD, in association with nef Consulting. March 2014.

¹⁷ The document “ME draft_Facility team revised version_October 2014” indicated that exceptions to these reporting requirements were permissible and so we had included the text “Exceptions are only permissible if they are justified in the programme document or Memorandum of Understanding (MOU) at the outset or included in a programme document revision after annual consideration and decision.” The CRGE Facility needs to decide whether exceptions are, indeed, permissible, and, if so, provide an example of the applicable

situation. We recommend that all projects / programmes provide quarterly and annual reports (i.e., no exceptions).

¹⁸ Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) development assistance criteria:

<http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

¹⁹ <http://gsgi.org/newly-established-research-center-to-assist-govt-development-goals/>

²⁰ The CRGE Secretariat needs to decide on their continued role. In the interest of promoting consistency in M&E practices across sectors, we recommend keeping CRGE units but they need to be empowered to perform their coordination function well.

²¹ CRGE Capacity Guiding Framework: Consultation Draft version 0.3 31 December, 2014. (p. 7)

²² Rapid Stakeholder Mapping and Gap Assessment on Results Based Management in Ethiopia: Volume 1: Consolidated Report (Final). Submitted to: MoFED and UNDP. October 2013.

²³ MoFED (2008). Guidelines for Monitoring and Evaluation of Public Sector Projects.