

CHAPTER 4: MONITORING, REPORTING AND EVALUATION

This chapter outlines the monitoring, reporting and evaluation mechanism of the project and the green landscape monitoring mechanisms to assess and monitor overall health/status of target Green Landscapes.

Oversight

1. Project oversight will be carried out by the National Project Steering Committees (NPSC), National Project Monitoring Committee (NPMC) at the national level, and State Steering Committee (SSC) at the state level. The Technical Support Group (TSG) shall monitor project implementation at the field level. Also, the Project Task Force (PTF), and the FAO GEF Coordination Unit will provide overall oversight of the project. This will ensure that: (i) project outputs are produced in accordance with the project results framework and leading to the achievement of project outcomes; (ii) project outcomes are leading to the achievement of the project objective; (iii) risks are continuously identified and monitored, and appropriate mitigation strategies are applied (iv) agreed project global environmental benefits/adaptation benefits are being delivered; and (v) adaptive management is being undertaken based on changes in the outcomes as a result of changing circumstances, if required.

4.1 Project Result Framework

2. Results Framework is a planning and management tool which depicts (in a graphic display, matrix, or summary) the different levels or chains of results expected from the intervention in a project, program or development strategy. It helps establish an evidence-based approach to monitoring and evaluation by including specific indicators of outcomes and impacts and identifying baselines and targets to be achieved. Project result framework is attached as **Annexure 1**.

4.2 Project Monitoring and Evaluation Plan

a) Project Implementation Monitoring

3. Project monitoring will be carried out in accordance with the established FAO, GEF and GOI procedures. Project performance will be monitored using the project results matrix, including indicators (baseline and targets), and annual work plans and budgets. Detailed M&E plan, which builds on the results matrix and defines specific requirements for each indicator (data collection methods, frequency, responsibilities for data collection and analysis) will also be developed during project implementation.
4. As outlined in the project implementation arrangements, the NPSCs, SSCs, TSGs, GPs and even community level organizations will monitor various aspects of project implementation, progress and threats. Activity level monitoring by communities/ GPs will feed into output level monitoring at the landscape/ district levels by the TSG. At the State level, monitoring will be more at the Outcome level. At the national level, monitoring will

at both Outcome and Objective levels. The NPMU, SPMU and GLIU will support monitoring of project activities.

b) Reporting

5. Specific reports that will be prepared under the Monitoring & Evaluation (M&E) programme are: (i) Project inception report; (ii) Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) annual Project Implementation Review (PIR); (v) Technical Reports; (vi) co-financing reports; and (vii) Terminal Report. In addition, assessment of the GEF Monitoring Evaluation Tracking Tools against the baseline (completed during project preparation) will be required at midterm and final project evaluation.

- **Project Inception Workshop Report:** The NPMU has prepared a project inception workshop report following the Project Inception Workshop and widely disseminated it among various stakeholders. This report can be accessed at

http://www.fao.org/fileadmin/user_upload/FAO-countries/India/docs/National_Inception_Workshop.pdf

Likewise, the SPMU shall prepare inception workshop report following the State and landscape level Inception workshops.

- **Half Yearly Project Progress Reports (PPR):** Six-monthly PPRs will be submitted by OPs of all the project states based on the systematic monitoring of output and outcome indicators identified in the project's Results Framework and submitted to FAO/NPMU, copying the concerned Government officials of the States, in a specified format (**Annexure 2**). These reports will be submitted at the end of every six months with a purpose of identifying constraints, problems or bottlenecks that impede timely implementation and to take appropriate remedial action in a timely manner. The final report will be submitted no later than thirty (30) calendar days after the end of the Project and will be provided together with two quarterly Financial Reports of the relevant period. The report is formally submitted to the Lead Technical Officer (LTO) and Fund Liasoning Officer (FLO) for clearance. After their review and clearance, FLO will ensure that project progress reports are established in FPMIS in a timely manner.
- **Annual Project Implementation Review (PIR):** The NPMU will prepare an annual Project Implementation Review report covering the period July (the previous year) through June (current year) with inputs from the SPMUs of the project states on progress towards achieving project objectives and outcomes and details pertaining to co-financing commitments. The LTO shall submit draft PIRs to the FAO GEF Coordination Unit for review. The FAO GEF Coordination Unit will submit the PIR to the GEF Secretariat and GEF Evaluation Office as part of the Annual Monitoring Review report of the FAO-GEF portfolio. PIRs will be uploaded on the FPMIS by the CBC GEF Coordination Unit. Please refer to (**Annexure 3**) for the format of PIR
- **Technical Reports:** Technical reports will be prepared by national, international consultants (partner organizations under Letter of Agreements) as part of project outputs and to document and share project outcomes and lessons learned. The drafts

of any technical reports shall be submitted by the NPMU to the Budget Holder who will share it with the LTO. The LTO will be responsible for ensuring appropriate technical review and clearance of the reports.. Copies of the technical reports will be distributed to project partners as and when appropriate.

- **Co-financing Reports:** The NPMU shall collect and consolidate required information and reporting on co-financing from the OPs in the project states and transmit it to BH and LTO in a timely manner. The report, which covers the period 1 July through 30 June, is to be submitted on or before 31 July and will be incorporated into the annual PIR. The format for Co-financing Report is attached as (**Annexure 4**).
- **GEF Tracking Tools:** Following the GEF policies and procedures, the relevant tracking tools will be submitted at three moments: (i) with the project document at CEO endorsement; (ii) at the project's mid-term review/evaluation; and (iii) with the project's terminal evaluation or completion report. The tracking tools are developed by the Project Design Specialist, in close collaboration with the FAO Project Task Force. They are filled in by the NPMU and made available for the mid-term review an again for the final evaluation.
- **Terminal Report:** Within two months before the end date of the project, and one month before the Final Evaluation, the PMU will submit to the BH and LTO a draft Terminal Report. The main purpose of the Terminal Report is to give guidance at ministerial or senior government level on the policy decisions required for the follow-up of the project, and to provide the donor with information on how the funds were utilized.

b) Evaluation

3. **Mid-Term Review:** A Mid-Term Review will be undertaken at project mid-term to review progress and effectiveness of implementation in terms of achieving the project objectives, outcomes and outputs. Findings and recommendations of this review/evaluation will be instrumental for bringing improvement in the overall project design and execution strategy for the remaining period of the project's term. The responsible parties for the evaluation include External Consultant, FAO independent evaluation unit in consultation with the project team including the GEF Coordination Unit and other partners. FAO will arrange for the mid-term review/evaluation in consultation with the project partners. The evaluation will, inter alia:
 - Review the effectiveness, efficiency and timeliness of project implementation;
 - Analyse effectiveness of partnership arrangements;
 - Identify issues requiring decisions and remedial actions;
 - Propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and
 - Highlight technical achievements and lessons learned derived from project design, implementation and management.

4. **Final Evaluation (FE):** An independent Final Evaluation (FE) will be carried out three months prior to the terminal review meeting of the project partners. The FE will aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This evaluation will also have the purpose of indicating future actions needed to sustain project results and disseminate products and best-practices within the country and to neighbouring countries.

c) Monitoring and Evaluation Plan

Table 1 below presents an overview of the M&E plan.

Table 1: Project's M&E Activities

Type of M&E Activity	Responsible Parties	Time-frame
Inception Workshops: At national, State and pilot sites level	NPMU, FAO Project Task Manager (PTM) supported by the FAO LTO, BH, and the GEF Coordination Unit	Within two months of project start up
Project Inception Workshop Report	NPMU, FAO PTM cleared by FAO LTO, and the GEF Coordination Unit	Immediately after workshop
Field based impact monitoring	NPMU and relevant line agencies.	Continually
Supervision visits and rating of progress in PPRs and PIRs	NPMU, FAO LTO and GEF Coordination Unit	Annual or as required
Project Progress Reports	NPMU, with inputs from project partners	Six-monthly
Project Implementation Review report	NPMU supported by FAO PTM, LTO, and project partners and cleared and submitted by the GEF Coordination Unit to the GEF Secretariat	Annual
Co-financing Reports	GLIU/SPMU/NPMU	Annual
Technical reports	SPMU/NPMU	As appropriate
Mid-term Review	External Consultant, FAO independent evaluation unit in consultation with the project team including the GEF Coordination Unit and other partners	Conducted and completed during project months 23 and 24
Final evaluation	External Consultant, FAO independent evaluation unit in consultation with the project team including the GEF Coordination Unit and other partners	Conducted and completed during project months 45 and 46
Terminal Report	NPMU, TCSR (formatting)	Completed by project month

4.3 Green Landscape monitoring system and protocols

5. The Green Agriculture project will support national and State level Operational Partners to establish a comprehensive monitoring programme (monitoring system and protocols) to assess and monitor overall health/status of the Green Landscapes. Relevant issues to be monitored will be based on this project's results framework and other priority issues based on discussions with project stakeholders. The project through the monitoring system and protocols will help generate system-wide indicators to assist the Government of India to evaluate progress towards delivery of GEBs, as well as impacts on farmers' livelihoods (e.g., income, food security, capabilities), and gender and social inclusion issues. The monitoring system is expected to increase both the efficiency and effectiveness of decision-making, including the allocation of resources provided by the Government of India and directed towards the conservation of priority landscapes; and ensure adaptive evidence-based decision-making of project activities.
6. The monitoring system and protocols will be developed in consultation with relevant agencies/ research organizations/ universities. The established monitoring system and protocols will then be used by the green landscape monitoring team to monitor the project green landscapes with the support of the community and local institutions. The monitoring programme will also be built on the existing monitoring work being undertaken by different environment and agriculture related agencies such as the at the regional/ state/ national level such as the Wildlife Institute of India's (WII) Environmental Information System (ENVIS) Centre for Wildlife and Protected Areas, the State Forest Reports of the Forest Survey of India (FSI), and data from ICAR institutions, including KVKs, State Government laboratories and State Agriculture Universities, etc. The green landscape monitoring team will collate and update relevant monitored data regularly with the support of the OPs and the Department of Agriculture, Cooperation and Farmers Welfare (DACFW), under the Ministry of Agriculture and Farmers' Welfare. The green landscape monitoring team will include the project's technical experts at both the NPMU and SPMU, and M&E expert. The team will work with the communication team to ensure that best practices from the landscapes are captured in wider communication media.
7. A comprehensive in-house Management Information System (MIS) is being developed by the MIS experts at the NPMU level to measure the progress of the project in terms of results achieved against the pre-determined targets, coupled with financial details with respect to disbursements and expenditures against each of the activities, outputs and outcomes. The reports generated will help the project monitor and evaluate its progress, track any deviations and ensure that the project is in line with the commitments made to the donor, Government and the communities.
8. The monitoring system and protocols developed will also integrate FAO's global experience and tools such as EX-ACT (Ex-Ante Carbon-balance Tool), Collect Earth, Sharp (Self-evaluation and Holistic Assessment of climate Resilience of farmers and Pastoralists), SEAGA (Socio-economic and Gender Analysis), etc.
9. The monitoring protocol will also have special emphasis on monitoring community involvement in Free Prior Informed Consent (FPIC) to project actions. This monitoring of

FPIC will be a collaborative process with support from the Communication Experts and Gender & Social Inclusion experts at the national and landscape level. The project will ensure that participatory monitoring and evaluation of all community agreements are undertaken on continuing basis throughout the life of the project.

Annexure 1: Project's Strategic Results Framework

Green-Ag: Transforming Indian agriculture for global environmental benefits and the conservation of critical biodiversity and forest landscapes

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
Project Objective: <i>To catalyse transformative change of India's agricultural sector to support achievement of national and global environmental benefits and conservation of critical biodiversity and forest landscapes</i>	O1. Institutionalization of intersectoral mechanisms (agricultural and allied sectors, forestry and natural resources management, and economic development) at national and five States to facilitate mainstreaming of environmental concerns into the agriculture sector beyond project end	0	One National Five States	Government notifications	GOI will continue to prioritize environmental concerns along with increased productivity in the agriculture sector
	O2. Number of key national and state level agricultural programmes (missions) with results based environmental indicators integrated in their policy and planning frameworks (or through revised guidelines and other tools based on project support)	0	At least six national missions: 1. National Mission on Sustainable Agriculture 2. National Livestock Mission 3. National Food Security Mission 4. National Mission for Horticulture 5. Rashtriya Krishi Vikas Yojana	Government reports	Different government agencies understand and prioritize the need to be involved in cross-sectoral approach to promote environmental mainstreaming in the

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
			6. National Initiative on Climate-resilient Agriculture		agriculture sector
	O3. Number of community initiatives to support conservation of globally important species such as the tigers, elephants and the Great Indian Bustard	To be determined at inception phase	At least 10 community led initiatives	Project reports	Current missions will continue throughout the lifetime of the project
	<p>O4. Reduction in threat index (as measured through Green Landscape monitoring programme) at key sites of high biodiversity importance within five target Green Landscapes' Production landscape Areas</p> <ul style="list-style-type: none"> • Rajasthan: 277,930 ha (grassland and orans) • Mizoram: 13,725 ha (<i>Jhum</i>) • Madhya Pradesh: 18,000 ha (ravines) <p><i>High Value Forests:</i></p> <p>Madhya Pradesh 35,000</p>	Site specific composite threat reduction index to be developed at year 1 of the project and baseline determined.	Site specific target to be set at project 's year 1	Project reports	

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
	Mizoram 50,000 Odisha 175,000 Uttarakhand 90,000				
	O5. Hectares of farms under sustainable land and water management (including organic farming and agrobiodiversity conservation) in target landscapes	6693 ha	104,070 ha <ul style="list-style-type: none"> • Madhya Pradesh: 9,000 ha • Mizoram: 13,725 ha • Odisha: 34,200 ha • Rajasthan: 34,145 ha • Uttarakhand: 13,000 ha 	Community records	
	O6. Greenhouse gas emission reduction (tCO ₂ eq newly sequestered or avoided) through improved agroecosystems management in five Green Landscapes	29,102,502 tCO ₂ eq	-49,906,455 tCO ₂ eq	Project report/ (EX-ACT calculations)	
Outcomes	Indicators	Baseline	End of project		

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
<p>Outcome 1.1. National and state level institutional, policy and programme frameworks strengthened to integrate environmental priorities <i>and resilience</i> into the agriculture sector to enhance delivery of global environmental benefits (GEB) across landscapes of highest conservation concern</p>	<p>1. Number of new policy recommendations approved by multi-stakeholder platforms of policy makers to strengthen agroecological approach in agriculture and allied sectors at national and State levels</p>	0	12 (at least 2 per State and two at the national level)	Project report	
	<p>2. Number of national and State plans to continue Green Landscape approach at five landscapes and expand beyond project targeted landscapes endorsed by multi-stakeholders and with financing committed</p>	0	Six (one national and five State)	Government notifications	
<p>Outcome 1.2. Cross-sectoral knowledge management and decision-making systems at national and state levels to support development and implementation of agro-ecological approaches at landscape levels that deliver global</p>	<p>3. Number of protected areas in five target landscapes with threat landscape level reduction monitoring protocols and indicators (such as hunting, encroachment) integrated into protected area management and monitoring in five target landscapes</p>	0	Seven (Desert National Park, Corbett, Rajaji, Similipal, Chambal, Dampa and Thoratlang)	Protected areas management plans	
	<p>4. Number of stories published in newspapers and other media</p>	0	At least 30 including national and State level	Project reports documenting stories	

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
environmental benefits as well as socioeconomic benefits enhanced	reports on Green Landscape approach, highlighting the importance of agroecological approaches in the agriculture sector for multiple benefits (within the 5 states and at the national level)				
	5. Number of local plans (including Gram Panchayat/ Village Council/ Community level) developed based on spatial decision support systems in five landscapes	0	At least 20	Government / community/ NGO plans	
	6.Number of lessons learnt reports published on different themes (environmental, economic, social) documenting relevant lessons learnt	0	12		
Outcome 2.1 – Institutional frameworks, mechanisms and capacities at District and Village levels to support decision-making and stakeholder participation in Green Landscape	7.Number of Green Landscape management plans promoting agroecological approaches, with clear environmental targets and sustainable livelihoods, gender and social inclusion considerations included, and synergistic to protected areas management plans within the landscape endorsed and under	0	5 plans covering at least 1,800,000 ha	Project report	

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
planning and management strengthened, with Green Landscape Management Plans developed and under implementation for target landscapes	implementation by stakeholders				
	8. Number of district level agencies using Green Landscape plans to realign multi-sectoral investments in project areas	0	25 (at least five in each Landscape)	TSG minutes	
	9. Amount of Government's agriculture sector investment at district levels realigned to support objectives of Green Landscape plans in five landscapes per annum	0	To be decided at project start	TSG minutes	
Outcome 2.2 - Households and communities able and incentivized to engage in agro-ecological practices that deliver meaningful GEB at the landscape level in target high conservation priority landscapes	10. Number of households that have adopted sustainable agriculture practices on their farms, including agrobiodiversity conservation measures	0	<ul style="list-style-type: none"> • Rajasthan: 3,162 • Odisha:37,500 • Uttarakhand: 14,700 • Mizoram: 5,490 • Madhya Pradesh: 7,500 	Project report	
	11. Number households involved in community natural	0	185,000	Project report	

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
	resources management plans development and implementation in line with overall Green Landscape management objective/s				
	12. Number of new value chains and associated business plans developed for landscape products, linked to agro-ecological farming and sustainable natural resources management in target areas, and under implementation	0	At least 20 value chains	Project reports/ FPO registration reports	
	13. Number of households implementing improved livestock management – including nutrition and fodder management (e.g. community fodder banks) –contributing to conservation of global environmental values	0	Madhya Pradesh: 8,000 Odisha: 22,500 Rajasthan 6,000 Uttarakhand 10,000	Project reports	
	14. Number of women participating in and	0	40,000 females:	Project reports	

Project strategy	Indicators	Baseline	End of project	Means of Verification	Assumptions
	benefitting from female cohort specific Green-Ag (agro-ecological) Farmer Field Schools		<ul style="list-style-type: none"> • Rajasthan: 3,000 • Odisha: 12,000 • Uttarakhand: 19,000 • Mizoram: 2,000 • Madhya Pradesh: 4,000 		
<p>Project Outputs</p> <p>1.1.1 National and state level inter-sectoral (agricultural and allied sectors, forestry and natural resources management, and economic development) coordinating committees established and institutionalized to facilitate cross-sectoral support to mainstream environmental priorities in the agriculture sector (target: 1 national, 5 state level)</p> <p>1.1.2 ‘Policy Dialogues’ established to inform and facilitate discussion of priority issues related to agriculture, environment <i>including climate change</i> and development, including gender issues, at national and state levels, including options to shift current investments in agricultural development to support more environmentally sustainable practices (target: 1 national, 5 state dialogues)</p> <p>1.1.3 Policy briefs, advocacy and awareness-raising materials developed to inform discussions and decision making on priority issues related to agriculture, environment and development (target: 10 national policy briefs, 15 state briefs)</p> <p>1.1.4 “Green Landscape” mainstreaming strategies developed to promote environmental protection as part of broader sustainable agriculture and natural resource management, including strategic re-direction and prioritization of agricultural initiatives and investments to encourage agricultural practices that deliver GEBs at the landscapes of highest ecological value (target: 1 national and 5 state level)</p> <p>1.2.1 – Spatial decision support system and tools, and compilation of existing land use information from international, national and state level sources (satellite imageries and other existing GIS database), developed and institutionalized, and users trained in their use (target: 1 national level system)</p> <p>1.2.2 – Green Landscape monitoring programme (monitoring system and protocols) to assess the health/status of the target Green Landscapes and evaluate progress towards delivery of GEBs and social and economic impacts (e.g. farmer income, food security) established and implemented, with relevant individuals equipped and trained in its use (target: 1 national and 5 state programmes)</p>					

Project strategy	Indicators	Baseline	End of project	Means of Verification	A
<p>1.2.3 –Communication strategy and plan designed and implemented (including development of an information management platform) to facilitate knowledge sharing, mainstreaming and replication of lessons learned and ‘best practices’ for Green Landscapes (target: 1 national and 5 state platforms and communication strategies/plans) Output</p> <p>2.1.1 Inter-sectoral institutional framework and mechanisms at district, inter-district and sub-district (District and Gram Panchayat/ Village Council) levels established (target: 8 mechanisms)</p> <p>2.1.2 – Key local decision-makers from each target Gram Panchayat/Village Council trained in Green Landscape governance through Field schools to enable members to make collective, evidence-based and empowered in Green Landscape governance for areas within their responsibility (target: Madhya Pradesh – 60; Mizoram – 60; Odisha – 150; Rajasthan – 20; Uttarakhand – 200)</p> <p>2.1.3 – District level technical and extension staff from different government sectors trained in Green Landscape approaches and issues to enable them to support local communities and farmers to implement agro-ecological practices (target: at least 80 individuals)</p> <p>2.1.4 - Green Landscape Assessments undertaken, with social (including gender), economic (including valuation of key ecosystem services), institutional, biophysical aspects of target areas identified, priority locations and actions agreed, and sequence of activities programmed (target: 5 assessment reports)</p> <p>2.1.5 - District level ‘convergence plans’ that align government programmes and investments with Green Landscape management objectives and which incentivize agro-ecological approaches at landscape levels produced (target: 8 convergence plans)</p> <p>Output 2.2.1 – Farmers trained through FFS on sustainable agriculture, with modules adapted to the specific needs of farmers near PAs and other high ecological value areas, including on management of livestock</p> <p>Output 2.2.2 – Local stakeholders trained on accessing available incentives to adopt sustainable practices and livelihood options, including Green Value Chain development to promote market linkages for income generation (target: to be determined)</p> <p>Output 2.2.3 – Wider community level awareness-raising campaigns to ensure wider stakeholder support for Green Landscape management and other land users and to ensure inter-community learning (targets, for both eco-clubs and information platforms: Madhya Pradesh – 50; Mizoram – 50; Odisha – 50; Rajasthan – 50; Uttarakhand – 50)</p> <p>Output 2.2.4 – Community based natural resources management plans designed and under implementation in target Green Landscapes, including community grassland/ ravines/forests/watershed management (number to be determined in year 1)</p> <p>Output 2.2.5 – On-farm agro-ecological management measures, including livestock management, to improve productivity and profits while reducing threats to GEBS identified, designed and promoted (target: various but to be determined)</p>					

Annexure 2

NARRATIVE PROGRESS REPORT FORM**Trust Fund Programme**

IMPORTANT: In order to adhere to the schedule of submission of present Progress Reports to Donors, the reporting officer should strictly comply with following requirements, <u>irrespective of the Project starting date</u>		
Funding source	Reporting periods	Progress Report due at FAO Headquarters
GEF	First six months: Second six months:	date

Project symbol	Title			Reporting period
Operating Unit	Lead Technical Unit	EOD-date	NTE-date	Total Project Budget USD_____

Supervision missions/visits celebrated in the reporting period		
Dates and FAO staff participating	Supervision activities and participants (meetings, Project site visits, etc.)	Issues treated

A.1 Progress and Output

Narrative description component activities and outputs produced in this reporting period
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- 1) Component 1: *Title*
- 2) Component 2: *Title*
- 3) Component 3: *Title*
- 4) Project management:

***A.2 Progress in reaching target indicators as established in the Project Logical
Framework/Results Framework (please add or delete rows to the table as required)***

	Indicator and end of Project target	Target foreseen for this reporting period as per Annual Work Plan	Level of achievement	Progress rating*
Component 1: [Name]				
Output 1.1				
Output 1.2				
Output 1.3				
Output 1.4				
Outcome 1.1		<i>if applicable</i>		
Outcome 1.2		<i>if applicable</i>		
Component 2: [Name]				
Output 2.1				
Output 2.2				
Output 2.3				
Output 2.4				
Outcome 2.1		<i>if applicable</i>		
Outcome 2.2		<i>if applicable</i>		
Component 3: [Name]				
Output 3.1				
Output 3.2				
Output 3.3				

Output 3.4				
Outcome 3.1		<i>if applicable</i>		
Outcome 3.2		<i>if applicable</i>		

* Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Based on inputs by the OP and BH, the **FAO LTU** will provide the progress rating.

B Inputs

1. List national & international professional staff assigned to the Project during the reporting period			
National		International	
Name, number of weeks delivered, and funding source	Function	Name, number of weeks delivered and funding source	Function
2. Equipment procured/received during the reporting period			

C.3 Actions planned to address any Project shortcomings, problems or risk encountered

If internal or external unsolved problems causing MS or lower in Project progress rating and/or medium and high risks have been identified in this reporting period or as part of the eventual mid-term evaluation, please indicate actions to address and mitigate those:

Problem(s) identified	Action(s) planned	By whom	By when (date)
Risks identified			

D. Work Plan and expected output targets by component for the next reporting period (complete below box or refer to up dated AWP/B submitted with the PPR)

1) Component 1: *Title*

2) Component 2: *Title*

3) Component 3: *Title*

Project management:

E. Reports

Please list all reports, other than Progress Reports, but including consultants reports, finalized by the Project during the reporting period only. Indicate for each of those:

- Recommended for inclusion in FAO's computerized documentation system as it contains data/info suitable for future use.
- It has been restricted by the Government as it contains confidential information.
- It has been distributed, giving date if applicable. If not, please send four copies to the Responsible Operating Unit.

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F. Attachments

Complete the required forms and attach	
1. Report on co-financing (with the PPR due 31 July)	
2. Financial Statement of Expenditures	
3. Cash Advance Request	

Reporting Officer	
Name:	Date:
Title:	Signature:
Reviewing Officer FAO LTO	
Name:	Date:
Title	Signature
Observations:	<p>Progress Reported:</p> <p>Very Satisfactory.....or Satisfactory.....or Not fully satisfactory.....*</p> <p>* Improvements are required as follows:</p> <p>The following corrective actions were taken: <i>(identify actions to be taken and by responsibility)</i></p>

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Annexure 3

FAO-GEF Project Implementation Report

2021 – Revised Template

Period covered: 1 July 2020 to 30 June 2021

1. Basic Project Data**General Information**

Region:	
Country (ies):	
Project Title:	
FAO Project Symbol:	
GEF ID:	
GEF Focal Area(s):	
Project Executing Partners:	
Project Duration:	
Project coordinates: (Ctrl+Click here)	<p><i>This section should be completed by:</i></p> <p><i>-Projects with 1st PIR</i></p> <p><i>-Projects could re-submit the coordinates if they have changed, or if the PMU now has more updated coordinates</i></p>

Milestone Dates:

GEF CEO Endorsement Date:	
Project Implementation Start Date/EOD :	
Proposed Project Implementation End Date/NTE¹:	
Revised project implementation end date (if applicable) ²	
Actual Implementation End Date³:	

Funding

GEF Grant Amount (USD):	
Total Co-financing amount as included in GEF CEO Endorsement Request/ProDoc⁴:	
Total GEF grant disbursement as of June 30, 2021 (USD m):	<i>[For DEX projects, the GEF Coordination Unit will confirm the final amount with the Finance Division in HQ. For OPIM projects, the amount should be provided by the execution partners]</i>
Total estimated co-financing materialized as of June 30, 2021⁵	

¹ As per FPMIS

² In case of a project extension.

³ Actual date at which project implementation ends - only for projects that have ended.

⁴ This is the total amount of co-financing as included in the CEO document/Project Document.

⁵ Please see last section of this report where you are asked to provide updated co-financing estimates. Use the total from this Section and insert here.

Review and Evaluation

Date of Most Recent Project Steering Committee Meeting:	
Expected Mid-term Review date⁶:	
Actual Mid-term review date:	
Mid-term review or evaluation due in coming fiscal year (July 2021 – June 2022)⁷:	Yes or No
Expected Terminal Evaluation Date:	
Terminal evaluation due in coming fiscal year (July 2021 – June 2022):	Yes or No
Tracking tools/ Core indicators required⁸	Yes or No

Ratings

⁶ The MTR should take place about halfpoint between EOD and NTE – this is the expected date

⁷ Please note that the FAO GEF Coordination Unit should be contacted six months prior to the expected MTR date

⁸ Please note that the Tracking Tools are required at mid-term and closure for all GEF-4 and GEF-5 projects. Tracking tools are not mandatory for Medium Sized projects = < 2M USD at mid-term, but only at project completion. The new GEF-7 results indicators (core and sub-indicators) will be applied to all projects and programs approved on or after July 1, 2018. Also projects and programs approved from July 1, 2014 to June 30, 2018 (GEF-6) must apply core indicators and sub-indicators at mid-term and/or completion

Overall rating of progress towards achieving objectives/ outcomes (cumulative):	<i>[Please be advised that this section should be completed once the ratings and comments are provided by the PC/BH/GEF OFP/LTO/FLO in the section 4 below. GEF Coordination Unit will ensure the insertion of the overall final rating in this section]</i>
Overall implementation progress rating:	
Overall risk rating:	

Status

Implementation Status <i>(1st PIR, 2nd PIR, etc. Final PIR):</i>	
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Project Contacts

Contact	Name, Title, Division/Institution	E-mail
Project Manager / Coordinator		
Lead Technical Officer		
Budget Holder		
GEF Funding Liaison Officer		

2. Progress Towards Achieving Project Objectives and Outcome (DO)

(All inputs in this section should be cumulative from project start, not annual)

Project objective and Outcomes (as indicated at <u>CEO Endorsement</u>)	Description of indicator(s) ⁹	Baseline level	Mid-term target ¹⁰	End-of-project target	Level at 30 June 2021	Progress rating ¹¹
Objective(s):						
Outcome 1:						
Outcome 2:						

⁹ This is taken from the approved results framework of the project. Please add cells when required in order to use one cell for each indicator and one rating for each indicator.

¹⁰ Some indicators may not identify mid-term targets at the design stage (refer to approved results framework) therefore this column should only be filled when relevant.

¹¹ Use GEF Secretariat required six-point scale system: **Highly Satisfactory (HS)**, **Satisfactory (S)**, **Marginally Satisfactory (MS)**, **Marginally Unsatisfactory (MU)**, **Unsatisfactory (U)**, and **Highly Unsatisfactory (HU)**.

Outcome 3:						

Action plan to address MS, MU, U and HU ratings

Outcome	Action(s) to be taken	By whom?	By when?

3. Progress in Generating Project Outputs (Implementation Progress, IP)

(Please indicate progress achieved during this FY as planned in the Annual Work Plan)

Outputs ¹²	Expected completion date ¹³	Achievements at each PIR ¹⁴					Implement. status (cumulative)	Comments Describe any variance ¹⁵ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output 1.1.1 <i>(please write output entry)</i>	Q1 Y3	<i>e.g 5 farmer field schools established in 4 pilot sites</i>	<i>5 working farmer field schools and 4 in progress</i>				%	
Output 1.1.2		<i>e.g. baseline study</i>	<i>n/a (or done)</i>				%	
Output ...							%	

¹² Outputs as described in the project logframe or in any updated project revision. In case of project revision resulted from a mid-term review please modify the output accordingly or leave the cells in blank and add the new outputs in the table explaining the variance in the comments section.

¹³ As per latest work plan (latest project revision); for example: Quarter 1, Year 3 (Q1 y3)

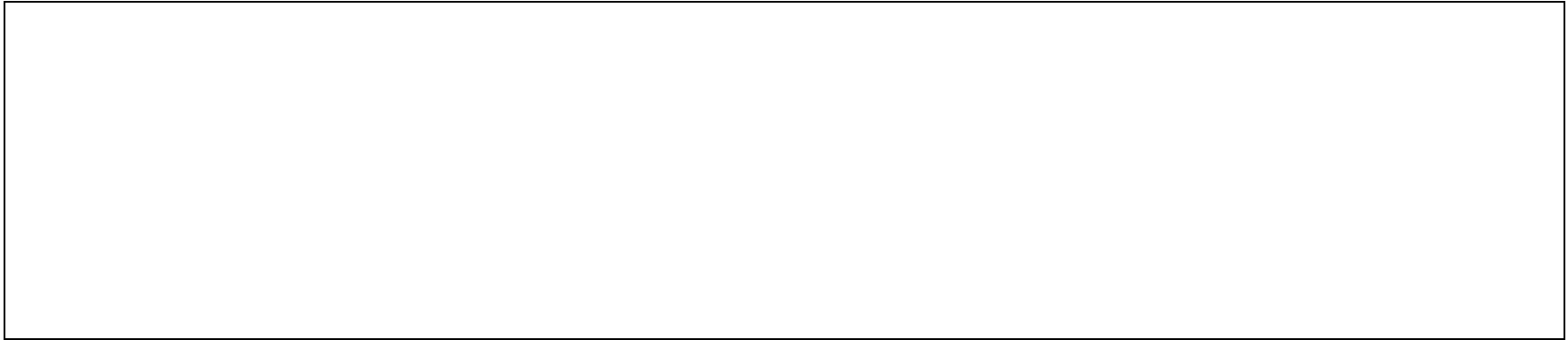
¹⁴ Please use the same unity of measures of the project indicators, as much as possible. Please be extremely synthetic (max one or two short sentence with main achievements)

¹⁵ Variance refers to the difference between the expected and actual progress at the time of reporting.

4. Information on Progress, Outcomes and Challenges on Project Implementation

Please briefly summarize main progress achieving the outcomes (cumulative) and outputs (during this fiscal year):

What are the major challenges the project has experienced during this reporting period?



Development Objective (DO) Ratings, Implementation Progress (IP) Ratings and Overall Assessment

Please note that the overall DO and IP ratings should be substantiated by evidence and progress reported in the Section 2 and Section 3 of the PIR. For DO, the ratings and comments should reflect the overall progress of project results.

	FY2021 Development Objective rating¹⁶	FY2021 Implementation Progress rating¹⁷	Comments/reasons¹⁸ justifying the ratings for FY2021 and any changes (positive or negative) in the ratings since the previous reporting period
Project Manager / Coordinator			<i>Mandatory Ratings/Comments</i>
Budget Holder			<i>Mandatory Ratings/comments</i>
GEF Operational Focal Point			<i>Optional Ratings/comments</i>
Lead Technical Officer¹⁹			<i>Mandatory Ratings/comments</i>

¹⁶ **Development/Global Environment Objectives Rating** – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet.

For more information on ratings, definitions please refer to Annex 1.

¹⁷ **Implementation Progress Rating** – Assess the progress of project implementation. For more information on ratings definitions please refer to Annex 1.

¹⁸ Please ensure that the ratings are based on evidence

¹⁹ The LTO will consult the HQ technical officer and all other supporting technical Units.

FAO-GEF Funding Liaison Officer			<i>Mandatory Ratings/comments</i>
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5. Environmental and Social Safeguards (ESS)

Under the responsibility of the LTO (PMU to draft)

This section of the PIR describes the progress made towards complying with the approved ESM plan, when appropriate. Note that only projects with moderate or high Environmental and Social Risk, approved from June 2015 should have submitted an ESM plan/table at CEO endorsement.

This does not apply to low risk projects. Please add recommendations to improve the implementation of the ESM plan, when needed.

Social & Environmental Risk Impacts identified at CEO Endorsement	Expected mitigation measures	Actions taken during this FY	Remaining measures to be taken	Responsibility
ESS 1: Natural Resource Management				
ESS 2: Biodiversity, Ecosystems and Natural Habitats				
ESS 3: Plant Genetic Resources for Food and Agriculture				
ESS 4: Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture				
ESS 5: Pest and Pesticide Management				

ESS 6: Involuntary Resettlement and Displacement				
ESS 7: Decent Work				
ESS 8: Gender Equality				
ESS 9: Indigenous Peoples and Cultural Heritage				
New ESS risks that have emerged during this FY				

In case the project did not include an ESM Plan at CEO endorsement stage, please indicate if the initial Environmental and Social Risk classification is still valid; if not, what is the new classification and explain.

Overall classification (at submission)	Project Risk (at project)	Please indicate if the Environmental and Social Risk classification is still valid ²⁰ . If not, what is the new classification and explain.

<i>Please report if any grievance was received as per FAO and GEF ESS policies. If yes, please indicate how it is being/has been addressed.</i>

6. Risks

Risk ratings

RISK TABLE
<i>The following table summarizes risks identified in the Project Document and reflects also any new risks identified in the course of project implementation. Please make sure that the table also includes the Environmental and Social Management Risks captured</i>

²⁰ **Important:** please note that if the Environmental and Social Risk classification is changing, the ESM Unit should be contacted and an updated Social and Environmental Management Plan addressing new risks should be prepared.

*by the Environmental and social Management Risk Mitigations plans. The Notes column should be used to provide additional details concerning manifestation of the risk in your specific project, **as relevant**.*

	Risk	Risk rating²¹	Mitigation Actions	Progress on mitigation actions²²	Notes from the Project Task Force
1					
2					
3					

Project overall risk rating (Low, Moderate, Substantial or High):

FY2020 rating	FY2021 rating	Comments/reason for the rating for FY2021 and any changes (positive or negative) in the rating since the previous reporting period

²¹ GEF Risk ratings: Low, Moderate, Substantial or High

²² If a risk mitigation plan had been presented as part of the Environmental and Social management Plan or in previous PIR please report here on progress or results of its implementation. For moderate and high risk projects, please Include a description of the ESMP monitoring activities undertaken in the relevant period".

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7. Adjustments to Project Strategy

Only for projects that had the Mid-term review (or supervision mission)

If the project had a MTR review or a supervision mission, please report on how the MTR recommendations were implemented as indicated in the Management Response or in the supervision mission report.

MTR or supervision mission recommendations	Measures implemented
Recommendation 1:	
Recommendation 2:	
Recommendation 3:	
Recommendation 4:	

Adjustments to the project strategy.

Please note that changes to outputs, baselines, indicators or targets cannot be made without official approval from PSC and PTF members, including the FLO. These changes will follow the recommendations of the MTR or the supervision mission.

Change Made to	Yes/No	Describe the Change and Reason for Change
Project Outputs		
Project Indicators/Targets		

Adjustments to Project Time Frame

If the duration of the project, the project work schedule, or the timing of any key events such as project start up, mid-term review, final evaluation or closing date, have been adjusted since project approval, please explain the changes and the reasons for these changes. The Budget Holder may decide, in consultation with the PTF, to request the adjustment of the EOD-NTE in FPMIS to the actual start of operations providing a sound justification.

Change	Describe the Change and Reason for Change
Project extension	Original NTE: _____ Revised NTE: _____ Justification: _____

8. Stakeholders Engagement

Please report on progress, challenges, and outcomes on stakeholder engagement (based on the description of the Stakeholder engagement plan included at CEO Endorsement/Approval (when applicable))

If your project had a stakeholder engagement plan, specify whether any new stakeholders have been identified/engaged:

If a stakeholder engagement plan was not requested for your project at CEO endorsement stage, please

- list all stakeholders engaged in the project
- please indicate if the project works with Civil Society Organizations and/or NGOs
- briefly describe stakeholders' engagement events, specifying time, date stakeholders engaged, purpose (information, consultation, participation in decision making, etc.) and outcomes.

Please also indicate if the private sector has been involved in your project and provide the nature of the private sector actors, their role in the project and the way they were involved

9. Gender Mainstreaming

Information on Progress on gender-responsive measures as documented at CEO Endorsement/Approval in the gender action plan or equivalent (when applicable)

Was a gender analysis undertaken or an equivalent socio-economic assessment made at formulation or during execution stages? Please briefly indicate the gender differences here.

Does the M&E system have gender-disaggregated data? How is the project tracking gender results and impacts?

Does the project staff have gender expertise?

If possible, indicate in which results area(s) the project is expected to contribute to gender equality:

- closing gender gaps in access to and control over natural resources.
- improving women's participation and decision making; and or
- generating socio-economic benefits or services for women

10. Knowledge Management Activities

Knowledge activities / products (when applicable), as outlined in knowledge management approved at CEO Endorsement / Approval

- Does the project have a knowledge management strategy? If not, how does the project collect and document good practices? Please list relevant good practices that can be learned and shared from the project thus far.
- Does the project have a communication strategy? Please provide a brief overview of the communications successes and challenges this year.
- Please share a human-interest story from your project, focusing on how the project has helped to improve people's livelihoods while contributing to achieving the expected global environmental benefits. Include at least one beneficiary quote and perspective, and please also include related photos and photo credits.
- Please provide links to publications, leaflets, video materials, related website, newsletters, or other communications assets published on the web.
- Does the project have a communication and/or knowledge management focal point? If yes, please provide their names and email addresses

11. Indigenous Peoples Involvement

Are Indigenous Peoples involved in the project? How? Please briefly explain.

If applies, please describe the process and current status of on-going/completed, legitimate consultations to obtain Free, Prior and Informed Consent (FPIC) with the indigenous communities

Do indigenous peoples have an active participation in the project activities? How?

12. Innovative Approaches

Please provide a brief description of an innovative²³ approach in the project / programme, describe the type (e.g. technological, financial, institutional, policy, business model) and explain why it stands out as an innovation.

²³ Innovation is defined as *doing something new or different in a specific context that adds value*

13. Possible impact of the Covid-19 pandemic on the project

Please indicate any implication of the Covid-19 pandemic on the activities and progress of the project. Highlight the adaptative measures taken to continue with the project implementation.

- Are the outcomes/outputs still achievable within the project period.
- Will the timing of the project MTR or TE be affected/delayed?
- What is the impact of COVID-19 on project beneficiaries, personnel, etc.
- Are there good practices and lessons learned to be shared?

14. Co-Financing Table

Sources of Co-financing ²⁴	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at 30 June 2021	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
		TOTAL				

²⁴ Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

Please explain any significant changes in project co-financing since Project Document signature, or differences between the anticipated and actual rates of disbursement

Annex 1. – GEF Performance Ratings Definitions

Development/Global Environment Objectives Rating – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet. **DO Ratings definitions:** **Highly Satisfactory (HS)** - Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”); **Satisfactory (S)** - Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings); **Moderately Satisfactory (MS)** - Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits); **Moderately Unsatisfactory (MU)** - Project is expected to achieve of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives); **Unsatisfactory (U)** - Project is expected **not** to achieve **most** of its major global environment objectives or to yield any satisfactory global environmental benefits); **Highly Unsatisfactory (HU)** - The project has failed to achieve, and is not expected to achieve, **any** of its major global environment objectives with no worthwhile benefits.)

Implementation Progress Rating – Assess the progress of project implementation. **IP Ratings definitions:** **Highly Satisfactory (HS):** Implementation of all components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be resented as “good practice”. **Satisfactory (S):** Implementation of most components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action. **Moderately Satisfactory (MS):** Implementation of some components is in substantial

compliance with the original/formally revised plan with some components requiring remedial action. **Moderately Unsatisfactory (MU):** Implementation of some components is not in substantial compliance with the original/formally revised plan with most components requiring remedial action. **Unsatisfactory (U):** Implementation of most components is not in substantial compliance with the original/formally revised plan. **Highly Unsatisfactory (HU):** Implementation of none of the components is in substantial compliance with the original/formally revised plan.

Annexure 4: Co-financing Report

Sources of Co-financing ²⁵	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
National and State Government	Government of Madhya Pradesh and Government of India (Gol):	i)Government Schemes ii)State Project Director/Deputy Project Director's time	US\$ 199.36 million			
National and State Government	Government of Mizoram and Gol:	i)Government Schemes	US\$ 61.93 million			

²⁵ Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

		ii)State Project Director/Deputy Project Director's time				
National and State Government	Government of Odisha and Gol:	i)Government Schemes ii)State Project Director/Deputy Project Director's time	US\$ 131.16 million			
National and State Government	Government of Rajasthan and Gol:	i)Government Schemes ii)State Project Director/Deputy Project Director's time	US\$ 193.53 million			
National and State Government	Government of	:i) Government Schemes	US\$ 279.21 million			

	Uttarakhand and Gol	ii)State Project Director/Deputy Project Director's time				
UN Agency	FAO		US\$ 3.5 million			
		TOTAL	US\$ 868.39 million			