International Centre for Integrated Mountain Development Updated Monitoring, Evaluation and Learning Framework

Board Approved: May 2018 Revised: December 2019

Abbreviations	- 2
Introduction	- 3
1.1. The ICIMOD context	- 3
1.2. Strategic Planning, Monitoring, and Evaluation	- 3
Framework	- 5
2.1. Purpose of the framework	- 5
2.2. Core principles of the framework	- 5
i. Strategic planning	- 6
ii. Monitoring	- 6
iii. Evaluation	- 6
iv. Learning	- 7
Feasibility assessment, appraisal, and proposal development	- 8
3.1. Feasibility and appraisal	- 8
3.2. Feasibility assessment	- 8
3.3. Purpose of feasibility assessment	- 9
3.4. Appraisal	- 9
3.5. Appraisal approval process	10
3.6. Proposal development, refinement, and submission	10
3.7. Proposal development	10
3.8. Proposal approval and submission	11
Purpose of monitoring, evaluation and learning	12
4.1. MEL principles	12
4.2. ICIMOD's results chain	12
Planning, monitoring, evaluation and learning at ICIMOD	14
5.1. Strategic planning	14
5.2. Strategic monitoring	15
5.3. Programme monitoring	16
5.4. Project monitoring	16
5.5. Decision-making based on programme, initiative, project monitoring	17
5.6. Evaluation	17
5.7. Evaluations at the institutional level	18
5.8. Evaluations at the regional programmatic level	18
5.9. Impact evaluations	19

5.10. Decision making based on evaluations	19
5.11. Evaluation of the MEL system	20
5.12. Learning	20
5.13. Mainstreaming gender and social inclusion in MEL	20
Roles and responsibilities	22
Annex 1: Strategic results, baselines and targets for 2020	24
Annex 2: Regional Programme indicators, baselines and targets	26

Abbreviations

CBD Convention on Biological Diversity
CCAC Climate and Clean Air Coalition

CCAC Climate and Clean Air Coalition to Reduce Short-lived Climate Pollutants

CHT Chittagong Hill Tracts
COP Conference of Parties

CSIRO The Commonwealth Scientific and Industrial Research Organization

GBIF Global Biodiversity Information Facility

GEOSS Group on Earth Observations
GIS Geographic Information System

HIMAP The Himalayan Monitoring and Assessment Programme

HKH Hindu Kush Himalaya

ICIMOD International Centre for Integrated Mountain Development

IFAD International Fund for Agricultural Development IFMR Institute for Financial Management and Results

IPBES Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem

Services

IPCC International Panel on Climate Change

ISG ICIMOD Support Group

IUCN International Union for Conservation of Nature

M&E Monitoring and Evaluation

MEL Monitoring, Evaluation, and Learning

MTAP Medium Term Action Plan

PAC Programme Advisory Committee

PC Programme Coordinator
PM Programme Manager
QQR Quinquennial Review

RBM&E Results Based Monitoring and Evaluation

RCT Random Control Trial

REDD Reducing Emissions from Deforestation and Forest Degradation

RMC Regional Member Countries

RP Regional Programme

SDGs Sustainable Development Goals SMC Senior Management Committee

SPM&E Strategic Planning, Monitoring, and Evaluation

ToC Theory of Change UN United Nations

UNEA United National Environmental Assembly
UNEP United Nations Environment Programme

UNFCCC United Nations Framework Convention on Climate Change

Introduction

1.1. The ICIMOD context

The International Centre for Integrated Mountain Development (ICIMOD) works in a complex socio-ecological system with unpredictable outcomes. It takes a learning approach to adjusting its planning and implementation and has developed a strategic orientation positioning itself within the region to develop knowledge-based solutions, to share knowledge, to engage with policy, and to foster collaboration for lasting impacts. ICIMOD best achieves results by fostering and piloting ideas and innovation, by outscaling and upscaling these ideas, and by working in a transdisciplinary manner that crosses disciplinary, scalar, and national borders.

It is this context, the monitoring and evaluation (M&E) system needs to be updated, adjusted and operationalized based on emerging requirements. The system must cater to complexity and a multitude of requirements at various levels. Considering the complexity of the change pathway and results framework, ICIMOD, in its current strategy, includes clear three impact areas and an institutional-level theory of change (ToC) in order to guide programme planning, implementation, monitoring, and evaluation.

1.2. Strategic Planning, Monitoring, and Evaluation

The Strategic Planning, Monitoring, and Evaluation (SPM&E) function supports and advises the Centre to become more results oriented and to improve its focus on outcomes and impacts. At the programmatic level, the SPM&E function facilitates the key stages of broader programme cycle management - programme design, results framework development, evaluation design establishment, and internal and external programme evaluation including impact assessments. Where feasible, the SPM&E unit also conducts evaluations in ex-post scenarios. At partners' level, monitoring, evaluation, and learning (MEL) is ensured through partnership due diligence processes strengthened through capacity building. At the institutional level, the SPM&E unit manages and coordinates institutional-level reviews and strategic evaluations including Quinquennial Reviews (QQR).

ICIMOD has enhanced its results-based planning, monitoring, and evaluation at institutional, programmatic, and partner levels and the SPM&E system at ICIMOD has evolved and improved since it was first implemented in 2003. Taking learning from the M&E systems introduced and implemented during the Medium Term Action Plan (MTAP) period, at the beginning of MTAP II, ICIMOD introduced

institutional-level M&E systems through strategic planning and results orientation at the institutional level.

Since 2013, ICIMOD has made significant improvements in its M&E and its impact assessment systems while taking into account the complexity of ICIMOD's systems. ICIMOD introduced participatory theory of change (ToC) and impact pathways as a mandatory approach for planning, monitoring and evaluation processes within its programmes, initiatives and at the partner's level. ICIMOD also hired the required human resources to support and implement the systems. At the same time, ICIMOD established partnerships with Abdul Latif Jameel Poverty Action Lab (J-Pal), the International Initiative for Impact Evaluation (3ie) and the Institute for Financial Management and Results (IFMR) India for improving its impact assessment capacity.

Considering recommendations from 6th QQR, for the MTAP IV, the following priorities have been identified to strengthen strategic planning, monitoring, evaluation, and learning across ICIMOD:

- Give emphasis to systematically document learnings at various levels and include them as inputs for enhanced design and planning of initiatives, programmes and strategic decision making processes.
- Given greater attention to partner's level performance, learning and capacity building.
- Ensure the regular practice of participatory ToC, impact pathways, and learning in programme design, planning, monitoring, and evaluation cycles.
- Strengthen the institution-wide planning and budgeting process will be strengthened by introducing new and efficient approaches and tools.
- Build on the existing strengths to design and implement a system that tracks the progress, outcomes, and impacts of regional programmes and initiatives involving diverse partners in the Hindu Kush Himalayan (HKH) region.
- Ensure the sensitivity and responsiveness of ICIMOD's Strategic Results Framework and its indicators to issues of gender, equity, and environmental sustainability.
- Strengthen and institutionalize evaluation bases and establish relevant evaluation designs for regional programmes and initiatives using rigorous methodologies.
- Systematically track the scientific quality and use of products and the upscaling and influence of knowledge generated by ICIMOD in the HKH region and beyond.

Framework

ICIMOD's pursuit of knowledge generation and application takes place for the mountain communities of HKH, policy makers and development practitioners of its regional member countries as well as global intellectual communities.

Governments of Regional Member Countries (RMCs), and ICIMOD support group and other funding agencies, and ICIMOD partners support the strategic goals defined in its Strategic and Results Framework (SRF) and Medium-term Action Plan (MTAP-IV). Together with its visionary partners, ICIMOD is committed to deliver impactful results to reduce poverty, improve ecosystem services, and enhance resilience by reducing physical and social vulnerabilities in the HKH region.

ICIMOD believes that a smart SPM&E system can catalyze in identifying effective strategies and enabling pathways to achieve its programmatic results and strategic impacts. For this purpose, ICIMOD has institutionalized an integrated system that serves the Centre as an effective planning, management, and monitoring, evaluation and learning tool that evaluates impacts, outcomes and outputs to ensure that ICIMOD priorities are relevant and best reflect RMC's priorities of the HKH communities.

2.1. Purpose of the framework

ICIMOD's Strategic Planning, Monitoring, Evaluation and Learning framework articulates Centre's approach, and sets expectations for Centre's staff and partners. The Policy establishes the approach, principles, criteria, roles and responsibilities for these stakeholders in its oversight and implementation. This Policy will be reviewed on five yearly basis and revised as needed. Successful implementation of the policy requires that the core principles are well understood and communicated internally and with partners. ICIMOD staff and partners have a shared responsibility to explicitly adhere to these the principles.

ICIMOD commits to implementing this strategy and ensuring its integration with other existing institutional policies, strategies, procedures, including: Risk Management Strategy, Gender and Equity Policy, Partnership Strategy, Social and Environmental Safeguards Policy and Human Resources Policy.

2.2. Core principles of the framework

It is highly important for ICIMOD that SPM&E, and learning activities are aligned with Centre's core values, intensions, and quality expectations. The following core principles must be carefully considered and explicitly addressed when designing, implementing, monitoring and evaluating ICIMOD programmes and initiatives.

i. Strategic planning

Strategic planning is a continuous process to carefully look into and assess developments and priorities in the HKH region. Strategic country consultations with RMCs are mandatory to revive and realign the Strategy and Results Framework (SRF) of ICIMOD. Based on these consultations ICIMOD Regional Programmes (RP) are designed which are aligned with the RMC priorities and emerging needs pertaining to mountain communities and approved by ICIMOD board. Regular country consultations with relevant stakeholders are mandatory process for identifying RMC priorities, designing, and implementing regional initiatives and projects to achieve programmatic goals1. These consultations use participatory ToC and Impact Pathways in setting up priorities for the initiatives. Any new funding opportunity is assessed in terms of its strategic alignment with Centre's SRF, RP level outcomes, and indicators. In addition, the strategic alignment is also assessed for their relevance and coherence with ICIMOD other policies including Partnership Policy, Gender Equity Policy, Risk Management Strategy, and Knowledge Management and Communication (KMC) Strategy.

ii. Monitoring

Both strategic and programmatic monitoring must follow Results Based, and Learning approaches. The major monitoring approaches include developing participatory ToC and Impact Pathways, results framework, and MEL plans with clear roles and responsibilities.

iii. Evaluation

All the reviews, evaluations and assessments must follow the principles of impartiality, objectivity, unbiasedness in terms of their design, selection of methodology, findings, conclusions and recommendations. Reviews, evaluations and assessments must be relevant and used for informed decision making, accountability and learning. All evaluations need to be complete, fair and based on global standards of evidence, expertise and transparency. Evaluation designs and methods must reflect high ethical standards fundamentally adhering to human dignity, inclusiveness, anonymity, and respect for nature and environment, informed consent and the avoidance of any real/perceived conflict of interest. Professionals involved in evaluations must follow the principles of systematic inquiry, competence, honesty and integrity, respect for people, and responsibilities

_

For clarity and unanimous Centre wide implementation, an "initiative is defined with broader defined objectives and associated output(s), and measurable output indicators with timeline of Medium Term Action Plan. The initiative can host many relevant projects with various funding sources. A "Programme" on the other hand, host a group of related "initiatives with defined objectives and associated outcome(s), and set of measurable outcome indicators for MTAP IV period (2018-2022) which are linked to institutional level 'Strategic Results'. Scope of a programme is seen at transboundary level, often at regional scale. Programmes are managed in a coordinated way in order to obtain defined 'Strategic Results'.

general public welfare. Evaluation must follow relevance, effectiveness, efficiency, impact, coherence, and sustainability criteria. Terminal evaluations and assessments must include impacts of the interventions on technical, financial, economic, social, environmental, gender and legal dimensions. Evaluation designs and methodologies must be rigorous, systematic and adaptive while adhering to international best practices.

iv. Learning

ICIMOD must fosters a learning environment through its SPM&E activities and programme implementation in a way that learnings are fed back into planning, and implementation process and disseminated widely.

Feasibility assessment, appraisal, and proposal development

3.1. Feasibility and appraisal

ICIMOD will follow feasibility and appraisal development process adhering to economic environmental, social and gender, financial, legal dimensions for its 'Category-A' Projects. For 'Category-B and C' 2 projects, internally defined participatory procedures of feasibility assessment, appraisal, and proposal development will be applied.

Programme, initiative, project proposals may result from internal discussion at ICIMOD, suggestions from stakeholders, call(s) for partnership from the external parties or responses to general or specific invitations for submission of proposals. These can either be new programmes, initiatives, projects or follow-up phases, extensions and expansions of existing programmes, initiatives, or projects. In order to structure requests for funding support - for such programmes, initiatives, or projects, ICIMOD distinguishes the following three main procedures in the preparation of programme, initiative, and project proposals.

- i. Feasibility assessment
- ii. Appraisal
- iii. Proposal development/refinement and submission

Each of these procedures require and must follow a minimum level of peer consultation and hierarchical consent to ensure coordination and coherence with the overall ICIMOD programmes as well as adherence to the level of quality standards adopted by the Centre. Once a proposal is accepted to be funded by one or more agencies, a fourth step follows, comprised of the contracting process, internal distribution of the budget, incorporation into NAVISION and adjustments to the established annual work plan.

3.2. Feasibility assessment

A project must be conceived following a proper feasibility study adhering to economic environmental, social and gender, financial, legal dimensions. Feasibility assessment provides a careful and thorough investigation of the technical and physical parameters essential for a careful and precise assessment of an initiative, or a project's capabilities, intended and unintended impacts.

² Category A: In ICIMOD context category A project is defined a project with an annual budget allocation of USD 1 million and above. Category-B: In ICIMOD context, category B project is defined a project with an annual budget allocation of USD between 0.5 and 1 million.

Category C: In ICIMOD context, category C project is defined a project with an annual budget allocation of USD between 100,000 and 0.05 million.

Category D: In ICIMOD context, category D project is defined a project with an annual budget allocation of USD below 100,000.

3.3. Purpose of feasibility assessment

Feasibility studies at ICIMOD aim at examining and questioning outlook of a project as per the design realized within the perceived project environment. Feasibility assessments determine whether a project is within the scope of the institutional framework, and can be satisfactorily carried out with the perceived financial, technical, human resources. In the ICIMOD context, feasibility assessment will be applied to 'category-A' projects which have yearly funding of more than 1 million USD. A feasibility study must cover and adhere to the following expository study areas:

- Scope of the initiative, or the project within institutional framework
- Technical, human resource, and technological (if required) requirements;
- Economic justification, such as the costs and benefits;
- Environmental, including present baseline data and perceived impact/implications of those data;
- Social, political, including demographic data and social needs;
- Financial for funding needs and intended sources; and,
- Administrative requirements, including partnership, and external linkages.

Each of these study areas must answer the following interconnected questions:

- Is the proposed project responsive to prevailing present or anticipated pressing environmental, climatic, social, gender and economic needs?
- Will the initiative, or project as planned adequately serve/fulfill the intended purpose without harming the environment, and ecosystems?
- Will the benefits of the project to environment and ecosystems, society and the economy be justified by intended design and by the costs?
- Should various technical alternatives be studied to optimize the cost effectiveness of the project without compromising on the quality of delivery and deliverables?
- Does the feasibility studies provide sufficient data to be considered as baseline to measure subsequent progress of project implementation and evaluation? (if not), what procedures the project has put in-place to establish these aspects?

Detailed methodology, template, timelines and processes of feasibility assessment will be explained in the detailed MEL guideline.

3.4. Appraisal

An appraisal must be carried out to evaluate the proposed initiative, or project's ability to meet its objectives with a generalist overview, interpretation and reconciliation of the specific analyses undertaken in the feasibility assessment. An appraisal must address the following questions:

- 1. How will the proposed project achieve its specific objectives, and the larger needs of the RMC(s); and,
- 2. How is the niche the project offers compare with other programmes, initiative, or projects it may be competing with for possible funding?
- 3. To what extent the project complies with ICIMOD safeguard measures.

Based on the approved feasibility reports, a concept note (I-PIF) must be developed for approval including the following major elements.

- ToC schema and narrative
- Initiative, project relevance, goals, and outcome
- Major risk(s), and mitigation measures
- Actionable set of strategies and tasks
- Proposed phases (if required)
- Implementation and partnership modalities
- Reporting, monitoring and evaluation requirements
- Proposed budget

3.5. Appraisal approval process

The concept note will be submitted to the Planning and Review Committee (PRC) of ICIMOD for review and assessment. The lead of the concept (or representative/team) will make a presentation to the PRC.

The PRC will assess the concept and make necessary recommendations to the DG of ICIMOD for approval. In case if there are major shortcomings, the PRC may propose necessary improvements.

3.6. Proposal development, refinement, and submission

Followed by an appraisal, a proposal must provide fundamental basis to prepare and finalize a project in a required format for submission. As a principal, all funding proposals are expected to go through the process described below and any deviation is only possible by decision of the Directorate. Based on the approval of concept through appraisal process, a core team led by the concept lead, a funding proposal will be developed and registered in the dedicated online system (i-Space) to enable monitoring of its development as well as quality assurance.

3.7. Proposal development

After approval of concept, the initiative or project core team led by concept lead will work on the proposal development based on the format required by funding agencies. The 'Category-A' proposals will follow partners consultations, alignment, and agreement processes in order to co-design, and develop the project.

3.8. Proposal approval and submission

Led by the concept lead, the core proposal development team will share, present the final draft of the proposal to PRC for its review and recommendations. The PRC will recommend final draft of the proposal to directorate for their approval and submission.

Purpose of monitoring, evaluation and learning

The overall purpose of MEL at ICIMOD is to demonstrate accountability towards its major stakeholders and to support learning and improvement through a complexity-aware and result-based management approach.

In particular, the ICIMOD MEL system will answer the following key questions:

- To what extent and how are regional programmes contributing to ICIMOD's seven strategic results and three impact level goals?
- To what extent and how are initiatives and partners delivering on their accountability parameters?
- To what extent programmes, initiatives, and projects adhere to relevance, effectiveness, efficiency, impact, coherence, and sustainability criteria of evaluations?
- How is learning at various levels being incorporated into strategic decision-making and implementation processes?

4.1. MEL principles

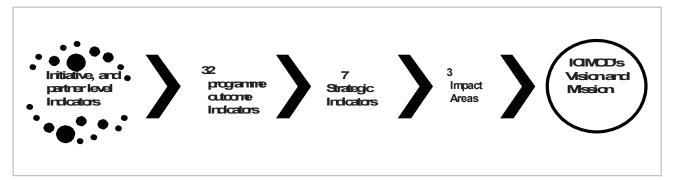
Learning, innovation, and accountability are at the center of the ICIMOD M&E system. The following are the guiding principles of monitoring, evaluation, and learning:

- Conduct results-based monitoring, evaluation, and capture learning
- Maintain high quality in compliance with international standards
- Encourage participation and partnership
- Promote evaluative thinking and continuous learning and adapting
- Ensuring transparency of the MEL processes
- Practice gender-sensitive and equity-based MEL processes
- Conduct and facilitate utilization-focused, impartial, and credible evaluations
- Communicate and disseminate M&E findings

4.2. ICIMOD's results chain

The MTAP IV aims to contribute positively to three impact areas: reduced poverty, improved resilience through reduced physical and social vulnerabilities, and improved ecosystem services. ICIMOD will be working through six regional programmes to achieve its seven strategic results leading to impacts. Each regional programme has clear outcomes and set of indicators for measuring success. Different initiatives under each regional programme are expected to contribute to the regional programme outcome and will be aligned accordingly. Figure 1 presents an overall picture of how ICIMOD harnesses partner- and initiative- level results in order to achieve its vision and mission.

Figure 1: ICIMOD's Results Chain and M&E Indicator System



Based on the nature of ICIMOD's results chain, the tracking of indicators and types of beneficiaries at different levels varies across countries, regions, and geographic areas. ICIMOD's beneficiaries are defined based on the reach of ICIMOD-supported programmes. ICIMOD's reach covers individuals, households, or institutions that have either participated in or benefitted from events or interventions or innovations of ICIMOD-supported programmes. These benefits may be in the form of knowledge enhanced, skills developed, risk and vulnerability reduced, and life skills and livelihood improved, among others.

- **Direct reach:** Those individuals, households or institutions that benefit through their direct engagement with ICIMOD or through their involvement in ICIMOD's programme implementation. These are people or institutions ICIMOD can physically verify because they have direct contact. Examples include individuals who have participated in pilot activities or capacity-building events, or institutions involved in the implementation of ICIMOD's programme activities.
- **Indirect reach:** Those individuals or institutions influenced by ICIMOD either through the organization's direct reach beneficiaries or through other means. These are people and institutions ICIMOD cannot physically verify because the organization may not have direct contact with them. Examples include communities reached through upscaling or replication or through policy development, or institutions not directly working with programmes but using ICIMOD products and services.

Planning, monitoring, evaluation and learning at ICIMOD

ICIMOD is a regional knowledge organization that works with different partners to utilize and upscale knowledge and practices and to bring about change in the face of complexity. Change takes place within a socio-economic environmental system in a highly non-linear way, and linking design, learning, and, monitoring and evaluation are imperative to comprehending, identifying, and understanding complex impact pathways.

A participatory and applied theory-based approach to impact can help to draw out the main impact pathways. This can help clarify who the different actors and users of outputs are and what kind of possible pathways of change they will work on which will lead to development impacts are. The theory of change approach also provides a good basis for designing robust impact evaluations using both experimental and non-experimental methodologies. Therefore, guided by the Centre's vision, ICIMOD's MEL system will provide evidence on ICIMOD's contributions made to reduced poverty, enhanced resilience by reducing physical and social vulnerabilities and improved ecosystem services.

These evidence collection efforts will our increase understanding of processes that enable change to take place in complex biophysical and sociocultural contexts and the way ICIMOD works directly with partners to create impact while working within the structure laid out by its Strategy and Results Framework. For the creation of evidence, the focus is on accountability to stakeholders and supporting learning and policy information and influence.

5.1. Strategic planning

Strategic planning at ICIMOD guides institutional-level planning mechanisms for better implementation of the strategic framework. The SPM&E Unit looks at these aspects systematically by defining strategies, setting up institutional milestones, and making decisions about allocating ICIMOD's resources to pursue its strategic direction.

Aligned with the current strategic framework, the Medium Term Action Plan (MTAP) IV provides a basis for the institution to plan and allocate resources and align its implementation approaches and mechanisms in order to achieve ICIMOD's long-term objectives.

The SPM&E Unit provides guidance and tools, and coordinates a planning process that brings together programmes, initiatives, and resources under a common framework. Initiatives and projects are used as an input to meet regional programme (RP) objectives aligned with the Centre's strategic results.

During the MTAP IV, ICIMOD will strengthen its planning process with the following new tools and processes:

- Five-year targets and milestones set against the strategic results
- Annual planning and budget meetings
- Online annual planning and budgeting tools
- Quality assurance system for planning and budgeting
- Risks and mitigation strategies are identified

An annual programme plan at the institutional level will serve as a common single planning document for consideration by all core and programme sponsors. At the initiative level, annual plans will be developed together with the partner institutions.

5.2. Strategic monitoring

ICIMOD's strategic monitoring and internal performance evaluation will focus on four aspects — institution, programmes, regional member countries (RMCs), and strategic thematic areas. At the institutional level, seven strategic results will be monitored through key measurement indicators that measure the Centre's relevance and effectiveness. Strategic Results Indicators (SRIs) have been introduced and will be used to monitor and assess specific key contributions of programmes and initiatives towards seven strategic results of the institution. A list of SRIs with baselines and targets for 2022 is available in Annex 1.

Internal review and evaluation processes will be applied to get performance data against strategic results and programme outcomes. In the MTAP IV, the Centre has articulated RMC-specific intervention strategies that will be monitored to assess the degree of responsiveness towards individual RMC needs and priorities.

Strategic monitoring processes and instruments will include:

- Annual and bi-annual regional programme progress reviews
- Progress discussion with and feedback from the Programme Advisory Committee of the ICIMOD Board
- ICIMOD/RMC partner days for feedback from partners
- Institutional-level reviews of strategic result indicators
- Institutional-level reviews of risks identified on biannual basis
- Regular Senior Management Committee meetings

Besides the above-stated outcome and impact studies, SPM&E will commission learning missions, success story documentation, and external reviews to generate evidence of ICIMOD's contributions in HKH region and beyond.

5.3. Programme monitoring

Programme monitoring involves the monitoring of outcomes and strategies through defined indicators for each regional programme. By extension, this monitoring also involves initiatives implemented under each RP. The theory of change and impact pathways developed during the planning stage for each of the RPs and initiatives will serve as the basis for programme monitoring.

The programme managers will collect monitoring data using monitoring tools, which will be analyzed, documented, and disseminated through internal monitoring reports. Participating partner institutions will also contribute. An annual progress report at the institutional level will serve as a common single document for consideration by all core and programme sponsors. At the initiative level, programme coordinators will prepare periodic progress reports for the sponsors based on operational partner reports and other monitoring inputs. All initiatives will provide an update on status of the MEL plan on bi-annual basis.

Reviews of programme progress based on the traffic light system will continue for the monitoring of all RPs. Other monitoring instruments will include:

- Bi-annual progress reviews of programmes and initiatives
- Bi-annual risk assessment and reporting
- Periodic partner progress reviews
- Field monitoring visits and partner consultations

5.4. Project monitoring

All projects will go through mandatory mid-term and final reviews which will help in decision making process about the project extension, viability, scaling up and sustainability. All category A projects will adhere to the following monitoring processes and assessments.

- 1. Project partners will submit their MEL plans to ICIMOD in the proposal approval stage.
- 2. ICIMOD will ensure that MEL capacities are in place with the selected partners for Category A projects.
- 3. Results, process and financial monitoring strategies ensured from the partners from the beginning of their engagement with ICIMOD.
- 4. Partners will adhere to all progress monitoring and reporting templates of ICIMOD given the MEL guideline.
- 5. ICIMOD will conduct a rigorous annual review of the projects which will determine the performance of the partnership projects and will have recommendations on the way forward.
- 6. Project monitoring missions including third party monitoring will be conducted on regular basis as per the agreement with partners.
- 7. ICIMOD will also ensure M&E budgets are provided to partners based on the

Annual MEL Plan.

8. ICIMOD will also provide MEL capacity building support to Partners.

5.5. Decision-making based on programme, initiative, project monitoring

It is mandatory to present the findings of the project and initiative mid-term and final reviews to the Management Committee (MC) and agree on follow-up action points based on the recommendations and directives. SPM&E will follow-up on the status on those action points.

Institutional level monitoring data, risk assessments and review recommendations will be presented to SMC for performance review of the programmes. SMC will issue directives and action points to the respective programmes for SPM&E to follow.

5.6. Evaluation

The evaluation function at ICIMOD serves both learning and accountability purposes for various stakeholders including donors. The evaluation mechanism at ICIMOD aims to provide both credible and timely assessment of the performance of ICIMOD's RPs, initiatives, and projects. Evaluations at ICIMOD are understood as a systematic assessment of evidences at institutional, programmatic, and at initiatives, projects level to help measure expected and un-expected results attributable to Centre's work, and examine how and why 'change' occurred to inform what, what works and what does not, why, for whom, how much and under what circumstances. ICIMOD considers evaluations to be the systematic and objective assessment of ongoing and completed programmes and initiatives in terms of their relevance, effectiveness, efficiency, impact, coherence, and sustainability.

In order to evaluate its RPs, initiatives, and project interventions, ICIMOD will follow globally accepted best practices and include evaluations that are independent and impartial to the internal decision making process of delivery and management of the programmes.

ICIMOD will conduct both internal and external evaluations. Internal evaluations and impact studies will mainly focus on attribution and learning from ICIMOD programmes. External evaluations including impact assessments will serve multiple purposes of independence, transparency, accountability, and learning. Independent expert evaluators will be selected through a transparent process for both programmatic as well as impact evaluations. Each evaluation will accentuate both intended and unintended results considering technical, financial, economic, social, environmental, gender and legal dimensions.

5.7. Evaluations at the institutional level

Institutional-level independent evaluation will be conducted every five years, towards the end of the MTAP. This evaluation is called the Quinquennial Review (QQR). As an independent and strategic evaluation, the QQR is critical to assessing the overall performance of the Centre, and its strategic orientation and strategic results. Terms of reference for QQR reviews are approved by the Board of Governors and implemented by the ICIMOD Support Group (ISG).

5.8. Evaluations at the regional programmatic level

At the programmatic level, both internal and external evaluations will be conducted to assess the performance of programmes being implemented during the MTAP IV period against their respective objectives and outcomes.

The theories of change and impact pathways developed for each RP and its initiatives, and their respective results frameworks will provide the fundamental basis for these evaluations. In order to facilitate programme-level evaluations, evaluation designs will be established following relevant and rigorous evaluation mechanisms and methodologies. Such evaluation designs will be established jointly through external and independent evaluation institutions and independent evaluation experts.

Follow-up on programme performance will be conducted through internal as well as external mid-term evaluations. Performance of programmes and initiatives in terms of relevance, efficiency, effectiveness, impact, and sustainability will be assessed through independent end-of-programme and initiative evaluations. In order to ensure transparency, all evaluation findings will be publically available through the ICIMOD website. Terminal evaluations and assessments must include impacts of the interventions on technical, financial, economic, social, environmental, gender and legal dimensions.

Types of evaluations conducted at ICIMOD generally include:

- **Mid-term evaluations:** To conduct a systematic formative assessment of Centre's work at programmatic, and initiative levels to assess progress towards anticipated outcomes and unanticipated results at/towards mid-term of a programme or an initiative. Evaluation at this stage aims at documenting learning on how and why anticipated, and unanticipated results occurred to inform what works and what does not, why, for whom, how much and under what circumstances used for course corrections.
- **Terminal evaluation:** To conduct a summative assessment of Centre's work at programmatic, initiative and projects level is to assess expected and un-

expected results attributable to Centre's work, and examine how and why 'change' occurred to inform what, what works and what does not, why, for whom, how much and under what circumstances. Terminal evaluations at ICIMOD assess programmes and initiatives for their effectiveness, efficiency, relevance, and sustainability of impacts, replication and scalability.

- **Ex-post evaluation:** Ex-post evaluations of selected programmes/initiatives is conducted to assess Centre's work for its effectiveness, sustainability of impacts, and scalability after certain years of closure of ICIMOD support to a respective programme/initiative.
- **Impact evaluation:** Following rigorous evaluation designs established for initiatives, and projects impact evaluations are conducted for selected initiatives, projects to assess intended and un-intended, positive and negative impacts of the interventions. Impact evaluation is explained in 5.9 section below.

5.9. Impact evaluations

Based on the rigorous evaluation designs established for the programmes, initiatives, and other interventions being implemented under the MTAP IV, impact evaluations using robust methodologies will be conducted for selected programmes, initiatives, and, interventions. These impact assessments will be undertaken using experimental, non-experimental, and qualitative methodologies. Since impact evaluations are generally very costly, the following criteria will be used to select interventions for impact assessments:

- The intervention should be innovative.
- The intervention should be replicable.
- The intervention should be strategically relevant to ICIMOD.
- The intervention should be untested prior to selection by ICIMOD.
- The intervention should have measurable effects over a relatively long period.
- The intervention should produce new knowledge on what works and does not, and therefore add to public knowledge.
- Resources should be available and assessment feasible.

5.10. Decision making based on evaluations

It is mandatory to present the findings of the evaluation to the Management Committee (MC) for informed decision making and strategic, and future planning. SPM&E will follow-up on the action points derived based on the learnings presented to MC.

5.11. Evaluation of the MEL system

Collective learning and accountability functions are expected to lead to and ensure achievement of the seven strategic results that contribute to three impact areas as mentioned in the strategic document. Effective implementation of MEL, and ToC and impact pathways will demonstrate the following performance results:

- ToC and impact pathway developed and used for programme/project planning, implementation, monitoring and evaluation.
- M&E plan developed and aligned to the respective ToC and impact pathway.
- Indicators developed are actor-based (relevant beneficiaries and other stakeholders are identified).
- Reviews are evidence-based and supported by both qualitative and quantitative rigorous performance data and external input.
- Programmes and plans are periodically adjusted with learning from monitoring and evaluation.
- Reports reflect results (not only activity and process) with evidence.
- Standard evaluation methods used as appropriate when required.

5.12. Learning

M&E processes can be among the most effective ways to foster learning for sustainable programme delivery and management. The information and insight gathered through monitoring and evaluation is not only used for accountability, but also for setting up mechanisms of reviews and reflections with various stakeholders to know why certain strategies work and certain strategies do not, and why? ICIMOD will use the following strategies in the MTAP IV:

- Participatory development of impact pathways and theory of change
- Revisiting of programme theories of change on a regular basis
- Promoting internal learning review of various initiatives
- Coordinate, facilitate joint, real-time evaluation missions
- Continuation of institutional-level review where challenges, issues, and emergent outcomes are discussed, and key learning distilled

5.13. Mainstreaming gender and social inclusion in MEL

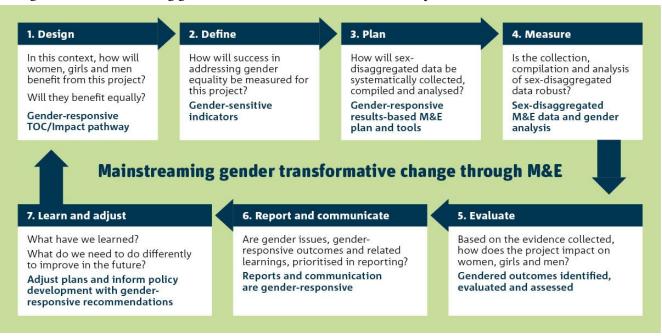
Mainstreaming gender into standard results-based management involves both technical and political processes and must begin with identifying gender gaps. Therefore, a gender and social equity lens will be used in each step of developing the ToC, impact pathway, and M&E system.

The seven-step framework (Figure 3), with sets of guiding questions for mainstreaming gender in results-based management, will be adapted and used to facilitate the process of gender transformative change through planning,

monitoring, and evaluation. Specifically, due consideration will be given to ensure the following during the process:

- Developing gender sensitive indicators
- Setting up results targets in line with reducing gender and inequality gaps
- Strengthening the M&E system to collect, compile and analyse disaggregated data
- Exclusive highlight of gendered outcome and achievements to reduce other inequality issues and concerns in reviews, reports, and communication material
- Strengthening partner capacity to analyse M&E data in relation to gender

Figure 2: Mainstreaming gender in a standard results-based M&E framework³

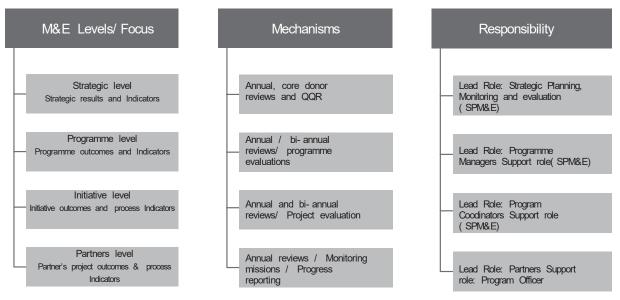


³ Reference: Kadel, L. M., Lacey, J., Ahmad, F., Hayes, K., Gurung Goodrich, C., Cruz Lopez, D., Milne, G., Darbas, T., Olsen, K. (2017) Making Gender Count: Leveraging M&E to mainstream gender.

Roles and responsibilities

At ICIMOD, Strategic Planning, Monitoring and Evaluation (SPM&E) is a more integrated function and the shared responsibility of ICIMOD and partner staff. Figure 6 highlights the bigger picture of responsibilities at different levels. The strategic planning, monitoring and evaluation unit within ICIMOD is an advisory unit providing technical support and guidance to integrate results based planning, monitoring and evaluation (RBM&E) across all of ICIMOD's interventions.

Figure 3: Responsibilities at ICIMOD



With the aim of overall guidance and technical support, the unit performs the following major responsibilities:

- Technical backstopping in designing the organization's strategic framework.
 It will define strategic results, develop key measurement indicators to measure these results, and tools and guidelines to measure change;
- Coordination with ISG to implement the QQR, an institutional-level, fiveyearly independent review of ICIMOD;
- Design the ToC and impact pathways for the programmes and initiatives with active participation from the programme and other relevant stakeholders;
- Develop an M&E system for each initiative and regional programme based on the ToC and impact pathways and link this system with the overall results of the organization. The ToC will provide a basis for the impact evaluation, and the unit will provide comprehensive guidelines for rigorous impact evaluations of the programmes and initiatives, and will ensure that the impact evaluations follow the guidelines;
- Provide support and guidance for effective implementation of the M&E system for each programme which includes: i) development of M&E tools

- and guidelines, ii) support in data analysis, and iii) periodic review of ToC and learning synthesis;
- Facilitate periodic reviews and monitoring, and disseminate their findings among the management and professional staff on a regular basis for course correction;
- Conduct periodic reviews and ensure reports and data quality so that all reports reflect visible results with enough evidence. This will help programme staff enhance their monitoring practice to make it more resultoriented and evidence-based;
- Coordinate with the knowledge management and communication section to develop knowledge products derived from evaluation reports and disseminate the products to relevant stakeholders;
- Design and implement rigorous impact evaluation using a standard evaluation method for pilot and action research projects; and,
- Build capacity of ICIMOD staff and partners in the theory of change, impact pathways, impact evaluations, and the use of M&E plans.

Annex 1: Strategic results, baselines and targets for 2020

Indicators	Baseline 2017	Target 2022		
SR 1.Widespread adoption of innovations and practices developed by ICIMOD and partners to adapt to change, leading to positive impacts for women, men, and children.				
ICIMOD-led innovations such as value chains, flood early warning systems, community water, soil, and ecosystem management strategies at national, regional, and global levels for poverty reduction and resilience building upscaled measured by number, levels and quality.	10 pilots in HKH region and benefitted more than 120,000 mountain population directly since 2013.	At least 20 innovations Scale up at least in 5 RMCs Reaching to half million people directly 50 policy recommendations are used by the RMCs		
SR 2. Significant advances in the gen	eration and use of relevant data, kno	wledge, and analysis.		
Use of data and information by communities, government agencies, practitioners, and scientists in the HKH and outside measured by number and quality.	320 peer reviewed journal articles 70 publication per year 47, 0226 downloads of ICIMOD books 5,528 GIS data downloads 3881visitors to website per day 150 partners report use of ICIMOD data	80 peer review articles per year double the download and visit of website 300 partners report use of ICIMOD data		
SR 3. Significant advances made in a	pproaches and knowledge that prom	ote gender equality and		
inclusive development.				
Empowerment of women especially in disadvantaged communities as a result of ICIMOD led programmes measured by number, quality and types.	Ensure at least 30% participation of women in all programmes and initiatives Gender Audit conducted Gender Action Plan is being prepared	At least 15 partners report they implement gender action plans At least 20 cases report successful women empowerment in terms of changing roles in decision making in 5 RMCs		
SR 4. Significantly developed human	and institutional capacity.			
Capacity built of individuals and organisations in the HKH region measured by number and quality.	16,000 individuals 100 institutions	30,000 Individuals 300 institutions		
SR 5.Policies considerably influenced by the work of ICIMOD and its partners.				
Changes in policies and decision making processes at various levels measured by number and quality.	7 national level policies 15 national and regional strategies	20 national policies 30 national and regional strategies		

Indicators	Baseline 2017	Target 2022
SR 6.Enhanced regional cooperation	related to sustainable mountain de	velopment.
Collaborative regional programmes and initiatives in the region as a result of ICIMOD and partners programmes measured by number and quality.	3 cases of collaborative regional programmes	At least 5 regional collaborative programmes will be in place
SR 7.Global recognition of the impo	rtance of mountains to ensure impr	oved and resilient
Citation and acknowledgment of ICIMOD inputs, analysis, and products in global policy processes, documents, and programmes measured by number and quality.	12 global forums shown ICIMOD's contributions	12 global forums will be continued 5 major international documents cite ICIMOD's inputs

Annex 2: Regional Programme indicators, baselines and targets

Regional Programme I: Adaptation and Resilience Building

			Target 2022
Indicators	Baseline	Quantitative Targets	Qualitative Targets
Outcome Statement: Enhanced in environmental changes, including			o socioeconomic and
Number of women and men who benefit from innovative interventions by reducing poverty, risk and vulnerabilities leading to resilience	23,322 people reached	Total-7,000 women- 3,000 men-4,000	At least 50% trained on new knowledge and skills will start relevant business Implementing partners will demonstrate confidence throughout scaling and upscaling of innovations coming from pilot at their own
Number of local institutions adopting gender sensitive, risk reduction and resilience building practices in areas of community DRR, tourism, access to clean energy, natural resource management, value chain development, and adaptation to climate change	15 institutions enabled to plan, implement	15 local institutions	Value based: wider recognition from Government adoption and use of practice, technologies, approaches by local institutions Scale: 1 in each 3 will be adopted at district level Impact: significant change in targeted population evidenced by evaluation/ Impact story shows
Number of regional, national, and sub-national institutions making use of the gender sensitive Resilient Mountain Solutions Approach promoted by the programme that reduce poverty, risks and vulnerabilities and promote resilience	ICIMOD worked with more than 20 institutions to work on RMS Approach	12 Institutions	Value based: wider recognition Impact level: significant change in targeted population evidenced by Evaluation/Impact story shows

		Target 2022		
Indicators	Baseline	Quantitative Targets	Qualitative Targets	
development policies making	19 national and sub-national policies influenced	7 policies	More people/agencies promoting/ advocating about the recommended practices and knowledge. Wider visibility and positive response increased media coverage	
Effective regional knowledge and experience sharing mechanisms supporting regional member countries to promote mountain-specific resilience practices	There is no such network at the moment	10 Regional mechanisms	Quality of participation knowledge, content creation, citation/ recognition	
Number of global fora at which ICIMOD's mountain-specific resilience agenda are promoted by regional member country representatives and institutions	5 global forums	10 global forums	Session chairs, speakers, panelists, lead authorship, citation, membership in taskforces, etc.	

Regional Programme II: Transboundary Landscapes

Indicator	Baseline	Quantitative	Targets 2022 Qualitative targets
Outcome Statement: Improved transboundary through regional policies and strategic partne services and equitable livelihood benefits at re	rships leading to	sustenance of 1	ountries demonstrated
Number of sub-national, national, regional and global institutions and networks using programme inputs for developing good quality and inclusive projects, programmes, research/monitoring protocols, frameworks, and guidelines in mountain landscapes (including a mix of forests, rangelands, farming systems, springsheds, watersheds, wetlands, peatlands) for sustenance of ecosystem services and poverty reduction	71 sub-national, national, regional and	87 sub- national, national, regional and global institutions and networks	Scale of use: quality to be defined as per earlier definition of 'good quality' Impact: effect on sustaining ecosystem services and poverty reduction

		7	Targets 2022
Indicator	Baseline	Quantitative targets	Qualitative targets
Number of high quality long-term research and monitoring results used for development of approaches to transboundary management, planning and implementation that are suitable to the complex biophysical, social-cultural and historical relationships within the HKH	established 18 research plots in Nepal India and	20 monitoring and research results will be used	assessment combined with other research
Number of policies and decision making processes influenced at sub- national, national, sub-regional and regional levels leading to sustainable landscape management and effective regional cooperation	17	13 policies: 19 decision- making processes:	Visibility of TBL's contributions Impact: effectiveness and inclusiveness in ensuring ecosystem services in the long term
Number of references showing ICIMOD's highly quality contributions to global agenda settings (SDGs, UNFCCC—Global Landscape Forum, IPBES, IPCC and CBD) and commitments (NDC) for promoting sustainable mountain development		300 references	Relevant to national/ global agenda; mountain specific meets regional strategic priorities for mountain development
Number of women and men benefited in equitable manner by integrated conservation and development approaches in identified transboundary landscapes leading to sustenance of ecosystem services and poverty reduction	KUUU neonie	20,925 men and women	Relevant to beneficiaries; inclusive; gender empowering; economic improvement

Regional Programme III: River Basin and Cryosphere

	Targets for 2022				
Indicators	Baseline	Quantitative Targets	Qualitative Targets		
Outcome Statement: RMC policies, strategies, and development programmes highly critical to water resources management and disaster risk reduction in the HKH region influenced through robust evidence from scientific research, gender responsive practices, and capacity building in the areas of river basins and cryosphere.					
Number of policies and strategies using ICIMOD outputs related to	4 policies supported	2 national policies	Targets meets most of the		
integrative and inclusive water resource development and management, and equitable benefit sharing that leads to reduced physical vulnerabilities and reduced poverty	5 strategies supported	14 STYATESTES	stated quality criteria like Integrative, equitable benefit sharing and inclusive.		
innovative, gender sensitive, and context-specific water resource management practices at	promote innovative	12 NG Institution 5 government departments	Government institutions, adopting our innovation in RMC and NG institutions, member countries and partners practices, include in their work plan, invest - up scaled in other areas of their countries		
	knowledge hub	Cryosphere: 3 RMCs, 8 organisations	Regional Cryosphere monitoring network and- strengthen Cryosphere Knowledge Hub Expand and regularize UIB network Strengthen IKBP		
climate services, and DRR	W(iMS (indictor 4)	4 organisations in climate services	Kabul 1.5-2 Dialogue Platform River Basin Expand and Regularize UIB Network Strengthen IKBP		
	DRR: HIMAP HICHAP/ RDS UIB Network		Indus regional gender network		

		Targets for 2022		
Indicators	Baseline	Quantitative Targets	Qualitative Targets	
having long-term and	Nepal) have established good	Dakietan and	Reporting to the international databases.	

Regional Programme IV: Atmosphere

		Targets 2022		
Indicator	Baseline	Quantitative targets	Qualitative targets	
Outcome Statement: RMCs use science-based knowledge on air quality, atmospheric processes, and climate to shape policies and actions leading to air pollution mitigation for improved environmental and human health.				
	targeting air pollution	Policy- 4 Strategy-4 Process-10	Significant change/ moderate/slight change — criteria to be defined later	
Number of instances showing global policy processes (UNFCCC, CCAC, IPCC) influenced by the programme	member of CCAC and	Global policy influenced: 5	Scale of influence: High; Moderate to Low	
Evidence of effective regional collaborations on atmosphere, clean energy, or climate in the HKH	<u>1</u>	New collaborations: 8	RMCs showing willingness to collaborate	
Number of women and men, and number of institutions in the RMCs, empowered effectively through capacity building to address air pollution	Baseline assessment	* *	Moderate and high (beyond minimum expectations)	

		Targe	ts 2022
Indicator	Baseline	Quantitative targets	Qualitative targets
Number of initiatives launched by			Extent of focus on
governments, communities, and the			social goals
private sector to take sustainable,	Improved brick kilns		(sustainability,
gender-sensitive, and socially	starting to spread in	Initiatives: 10	gender sensitivity,
inclusive measures to improve air	Nepal, Pakistan and	Sector: 4	social
quality by reducing emissions and	Bangladesh		inclusiveness,
improving energy use leading to			vulnerability
reduced poverty and social			reduction)

Regional Programme V: MENRIS

		Targets for 2022					
Indicators	Baseline	Quantitative Targets	Qualitative Targets				
Outcome Statement: Significantly contribute to effective evidence-based decision making processes by governments, communities, and individuals using scientific data, earth observation information, and geospatial technologies in the areas of agriculture, the environment, natural resources, and climate change.							
Number of institutions and programmes effectively using high-quality information services and climate services for gendersensitive and inclusive decision making on natural and social systems at different levels (community, national, subnational, and regional) leading to reduced poverty, vulnerabilities and improved ecosystem services	5 institutions	20 programmes/or institutions (direct)	High quality: Multiple uses of the service with minimal inputs from ICIMOD				
Number of women and men using ICIMOD's databases within and beyond the region through innovative platforms.	Include results from MTAP III. 328 878 visitors in	400,000 visitors to	Data received, use unknown; data received and use verified				

		Targets for 2022		
Indicators	Baseline	Quantitative Targets	Qualitative Targets	
Increased number of originations and people (women and men) using earth observation and geospatial solutions as a result of capacity development	1,388 people from 247 institutions participated in the trainings until 2017 (baseline information available for cumulative number)	20% increase on MTAP III results 35 unique institutional users	extent of use	
Effective mechanisms in place at	National: Bhutan is functional Other countries not yet started Himalayan GEOSS- Concept sharing meeting organized	4 geoportals at national level HGEOSS: 8 countries formal endorsement	Functional, Relevant Rating (moderate to high)	
Number of instances ICIMOD is	ICIMOD has received a number of awards from ESRI, the GEOSPATIAL forum and others	fora exchanges	Recognition from non- commercial networks, forums and exchanges	

Regional Programme VI: Mountain Knowledge and Action Networks

	Baseline	Targets for2022				
Indicators		Quantitative Targets	Qualitative Targets			
Outcome Statement: Enhanced capacity and collaboration among universities, research alliances, policy makers, and youth for sustainable development in the HKH and adjoining regions.						
Increased number of universities employing high quality relevant curricula related to mountains and environmental economics influenced by the programme	Three university members are employing	Universities- 50% of member universities employ MC. At least 10 universities in SANDEE network introduce EE in their curricula	Scale- to what extent curricula relates to the specified issues Power of change - at what level a change is expected c/o curricula change; implementation/ realization of the curricula is executed at holistic level, including enabling environment and appropriate capacity; curricula should be able to cater to changing needs of mountain societies and market			
Number of instances that collaborative research and gender inclusive training programs are organized by network members with their own resources	13 Seed grants and	10 independent collaborative research among the network members	High quality and policy relevant research on sustainable mountain development in the HKH Publication in renowned journals and citations Visible recognition of network members			
	Not known	_	Relevant and customized training for the region			
Increased number and quality of peer-reviewed publications by network members	Exact no. is not known (about 10 articles per year from those who got direct grant from SANDEE)	II ()() iniirnal articles	Quality of journal and impact factor			
	Baseline to be	Minimum 20 journal articles in journals with impact factor above 2. Minimum 20 articles cited				

Indicators	Baseline	Targets for2022		
		Quantitative Targets	Qualitative Targets	
	Existing HUC database (40 fellows).	effective and	The efficiency of mountain development work of fellows Sustainability of mountain development work of fellows	
An effective regional platform that uses science-policy dialogues for regional cooperation leading to poverty reduction, improved ecosystem services and reduced vulnerabilities	As part of HIMAP, two dialogues organized and one comprehensive assessment	I Ine comprehensive	Dialogues should engage with relevant high level policy makers	
Number of national and sub-national policies influenced by the programme that contributes to poverty reduction and reducing social vulnerabilities	Zero policies influenced	Four national policies influenced	HIMAP evidence-based policy outreach; uptake of SDG consistent mountain priorities by the 8 RMCs in NAP and NDC processes; SANDEE interactions with policy-makers on NDCs and climate change policies; carbon markets and environmental regulation	
Number of instances where youth acquire new skills and leadership for promoting sustainable mountain development	available regarding youth in the HKH	50 cases reaching out to 1000 HKH youths for new skills	The skills are being used in gainful way; leadership turns into action	