Module 6: Tracking progress, monitoring and evaluation

6.1. Tracking progress in addressing adaptation

LEG training workshops for 2012-2013

- Pacific LDCs workshop

In this module

Where are we?

Module 1: Setting the stage

Module 2: Mainstreaming adaptation into development

Module 3: Designing implementation strategies

Module 4: Accessing financial resources

Module 5: Assessment of the NAPA

Module 6: Tracking progress, M&E

- **6.1. Tracking progress in addressing adaptation**
- 6.2. Monitoring and evaluation
- 6.3. Developing a communication strategy

Module 7: Best practices and lessons learned

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- The importance of tracking progress in addressing adaptation;
- Key steps in undertaking the tracking of progress;
- Important beneficiaries of information collected.

Guiding questions:

- How can tracking of progress influence decision making?

Why is a tracking of progress important?

a) For LDCs, impacts of climate change will be felt most in the crucial parts of the society:

× Agriculture and food security	× Sustainable development
× Water resources	× Ecosystem goods and services
× Physical safety	× Energy sources and supplies
× Health	× Cultural values and cultural systems
× Livelihoods	× Infrastructure and land use planning

b) NAPAs and other adaptation activities seek to:

- Reduce the vulnerability of LDCs to climate change in these areas;
- Improve adaptive capacity and resilience in LDCs;

c) It is therefore important ensure that we track whether:

- To see whether the process has been followed correctly
- If the adaptation options have the desired effect;
- The activities benefit the target groups (most vulnerable, and critical areas);
- The findings, experiences, and recommendations thereof help to inform concerted national action on addressing adaptation

What would it take?

a) Inventory of existing monitoring systems

- Existing structures, findings, etc…;

b) Parameters to consider in measuring the status of addressing adaptation:[1,2]

- Past, present and planned adaptation activities;
- Level of integration of adaptation in planning across all sectors;
- Adaptive capacity;
- Awareness and knowledge on adaptation;
- Effectiveness of actions;
- Climate data and climate change projections;
- Disaggregated data on vulnerabilities and impacts (e.g. gender);

c) Institutional setup or mechanisms:[2]

- Collection, analysis, and provision of knowledge in support of adaptation activities;
- Research, analysis and interpretation of climate data and information.
- Sustainable climate data and information gathering and monitoring;
- Storage and archiving of data and information.

Beneficiaries of information collected

National development processes:

- Government ministries/departments;
- Local and regional governments;
- Private sector
- Non-governmental organizations; faith-based organisations

Academic and research groups (universities, regional centres, networks):

- To inform the national education system, including informal education;
- Information on areas to be addressed by research (e.g. nationally specific approaches and methods);
- Validating, reviewing and publishing national results and reports;
- Best practices and lessons learned;

Special groups:

- Gender advocacy groups;
- Vulnerable communities/groups, e.g. indigenous peoples groups, mountain communities, coastal communities, etc;

Beneficiaries of information collected

UNFCCC / UN Agencies / GEF / Donors:

- Progress on the implementation of the NAPA;
- Experiences in applying provisions set under the Convention;
- Functioning of the financial mechanism, and donor funding;

Other important stakeholders:

- Financial mechanism – GEF;
- Bilateral agencies;
- Interested international organizations;

Monitoring and evaluation processes:

- National and sub-national levels;
- GEF-LDCF level;
- Bilateral;
- Etc.

References

1. UK-DEFRA. 2010. *Measuring adaptation to climate change - a proposed approach*. http://archive.defra.gov.uk/environment/climate/documents/100219-measuring-adapt.pdf;

2. Dixit, Aarjan, Heather McGray, Javier Gonzales, and Margaret Desmond. 2012. "*Ready or Not: Assessing Institutional Aspects of National Capacity for Climate Change Adaptation*." WRI Report. World Resources Institute, Washington DC. Available online at http://www.wri.org/publication/ready-or-not.

Module 6: Tracking progress, monitoring and evaluation

6.2. Monitoring and evaluation

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Importance of monitoring and evaluation;
- Key steps in undertaking monitoring and evaluation;
- Resources and capacity necessary for monitoring and evaluation.

Guiding questions:

- What is the capacity needed at the national level to carry out monitoring and evaluation?
- How can this be assessed and strengthened (e.g. forming effective partnerships for data collection)?

Important terms

- Goal
- Baselines
- Results
- Outputs
- ***Output***: the products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention that are relevant to the achievement of outcomes. i.e. output = ‘’what we do’’
- ***Outcome***: the likely or achieved short-term and medium-term effects of an intervention’s outputs, i.e. outcome = ‘’what difference does it make”
- ***Impact***: positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
- Indicators
- Reporting
- Feedback
- Lessons
- **Results chain: inputs -> outputs -> outcomes -> impact**

Purpose/importance of M&E

1. The purpose of M&E is the measurement and assessment of performance in order to more effectively manage outcomes and outputs known as development results. *(UNDP, 2002);*

2. M&E is an important tool to help identify good practices and single out less effective approaches, contributing to evidence based decision making. It can also be an effective tool for prioritisation of inputs and communication of outcomes. (*OECD, 2012);*

3. To monitor and evaluate the relevance of international assistance and initiatives to national development goals within a given national, regional or global context;

4. To monitor and evaluate the effectiveness, efficiency, partnerships and coordination, cost effectiveness, risk factors and risk management, level of national ownership, measures to enhance national capacity for sustainability of results, etc…

Challenges for adaptation M&E

- Absence of a universal indicator for performance measurement
- Adaptation to climate change takes place within specific and diverse socio-cultural,
  socio-political and local or regional settings
- Uncertainty about climate change projections
- Extended timeframes
- Many drivers
- Difficult to define ‘business as usual’

Key messages from the workshop on tracking successful adaptation – smart monitoring for good results

Many different audiences and purposes for adaptation M&E. M&E should be considered also to be a communications and learning tool that can help to inform the design of frameworks and choice of methods.

Evaluating adaptation impacts requires longer time horizons than the typical development project duration. Need to think beyond projects to conduct adaptation impact evaluation.

Capacity building for adaptation M&E is needed at many scales, including among agency staff, national policy makers, and local implementers.

Could be useful to develop a repository of adaptation indicators that are already being used. However, indicators alone are not sufficient to address the question of how to monitor and evaluate adaptation.

Website: www.bonn-perspectives.de/en/dialogue-events/ tracking_adaptation.html.

What do we monitor in adaptation

- Climate impacts
- Vulnerability
- Implementation of adaptation strategy
- Resource spending for adaptation
- Impact of adaptation measures
- Etc.

Different levels of monitoring and evaluation

1. **International level (e.g. Convention, GEF, UN agencies)**
   - Contribution towards global goals and targets;
   - Relevance in international support mechanism to national development goals and priorities in context;
2. **National level**
   - Achievement of nationwide goals and targets;
3. **Programme/project level**
   - Achievement of programme/project objectives;

Step 1:
Assessing the context for adaptation

Step 2:
Identifying the contribution to adaptation

Step 3:
Devising the strategic orientation

Step 4:
Defining indicators and setting a baseline

Step 5:
Operationalising the results-based monitoring system

Key processes in monitoring and evaluation

1. Stakeholder engagement
2. Translating project goals and objectives into M&E framework
3. Setting results: inputs, baseline, outputs, outcomes, impacts
4. Selecting indicators, identifying data sources and collection methods
5. Setting realistic targets for results
6. Implementing the M&E plan
7. Analysing and evaluating results
8. Disseminating and utilizing findings
9. Sustaining and replicating the M&E system

Identifying the contribution to adaptation

- **Building adaptive capacity**

  Strengthening the capacity to undertake vulnerability and risk assessments, to use climate projections, to prepare climate information and communicate it, to mainstream climate change in planning frameworks

  Sample indicators: existence and quality of coordination/mainstreaming processes, availability of climate information and analytical capabilities, risk management capacity in dealing with increasing climatic variability, operational early warning systems for risks

- **Reducing vulnerability and risk**

  Measures aimed at reducing specific vulnerabilities and risk such as enhancing water storage capacity, coastal zone management, crop diversification

  Sample indicators: volume of water available, extent of diversification of income in regions affected by extreme weather events

Identifying the contribution to adaptation

- **Securing development goals in the face of climate change**

  Development goals as the focus

  Sample indicators: stable income in particularly vulnerable sections of the population, reduced dependence on highly climate-sensitive sectors, availability of climate-resilient infrastructure, expansion of and participation in educational provision.

Don’t forget the people!

Need for sex, age disaggregated data

Monitoring and evaluation frameworks

1. **Conceptual frameworks**
   - Theory of change; feed this into baseline data collection and track assumptions
   - Most significant change technique - Davies & Darts (2002, 2005);
2. **Results, indicator and logical frameworks**
   - Results frameworks (e.g. GEF LDCF RBM);
   - Indicator frameworks (e.g. ClimateXChange Adaptation Indicator Framework);
   - Logframe approach (LFA) (e.g. also integrated into the GEF RBM);
   - Logic models

Capacity/resource needs for M&E

1. Institutional set-up for M&E (e.g. M&E Unit);
    - Consensus building among all stakeholders;
    - Coordination of the M&E work
    - Data management
    - Reporting, information dissemination and review
2. Individuals who is motivated, committed, competent and interested in M&E;
3. Financial resources (e.g. 10% of projects costs) to cover:
    - Data collection and information dissemination systems;
    - Coordination of the M&E work;
    - Systems or special studies to be conducted by outside agencies;
4. Guides, manuals, communication tools, and any other support facilities.

Last thoughts

- Make use of existing indicators
  - National performance management frameworks
  - Key sector development indicators (e.g. water availability, agricultural production)
  - Statistics offices www.spc.int/prism

- National minimum development indicator www.spc.int/nmdi

Opportunities and barriers to monitoring and evaluation

Exercise:

Select a level most interesting to you: project/programme level or national level, and briefly outline a concrete example (your NAP/NAPA, an LDCF project etc.), and work on the following questions.:

- Identify opportunities and barriers for monitoring and evaluation, with a view toward problem-solving and maximizing opportunities;
- Identify potential solutions that can be design into the workplan or an implementation strategy of a NAP or NAPA to allow for making adjustments to account for some of the issues that may arise during the M&E process;
- Incorporate these into the programme design and strategic processes.

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Understanding the elements of information that will be part of the communication strategy.

Guiding questions:

- Where are the information sources and who are the target groups?
- How to deliver information to the target groups?

Elements of a communication strategy

a) Identify target group(s)/audience

b) Identify information needs of the target groups

- Quantitate;
- Story lines;
- Examples;

c) Identify main messages

- Obtain and understand the underlying information

d) Select mode/means of communication

- Impact on target group;
- Press release, brochure, web based, television, newspaper, billboards.

Target groups/audience

a) For national development processes:

- Government ministries/departments;
- Local and regional governments;
- Private sector;
- Non-governmental organizations;

b) For academia, and research groups:

- Information to inform the national education curriculum/syllabus including informal education;
- Information on areas to be addressed by research (e.g. nationally specific approaches and methods);
- Validating, reviewing and publishing national results and reports;

c) For special groups:

- Gender advocacy groups;
- Vulnerable communities/groups, e.g. indigenous peoples groups, mountain communities, coastal communities, etc;

Target groups/audience

d) For regional stakeholders:

- Government ministries/departments;
- Local and regional governments;
- Private sector;
- Non-governmental organizations;

e) For the international community:

- Information to inform the national education curriculum/syllabus including informal education;
- Information on areas to be addressed by research (e.g. nationally specific approaches and methods);
- Validating, reviewing and publishing national results and reports

Discussion

Where are the information sources and who are the target groups?

How to deliver information to the target groups?