
**Tenth meeting of the Adaptation Committee
Bonn, Germany, 13-16 September 2016**

**Inventory of ongoing monitoring and evaluation work of adaptation
prepared under the Nairobi work programme on impacts,
vulnerability and adaptation to climate change**

Note by the secretariat

Recommended action by the Adaptation Committee

The Adaptation Committee (AC) will be invited to consider the information contained in this background note and agree on additional work on monitoring and evaluation (M&E) systems and impact evaluations, as appropriate.

1. Introduction

1. As part of its 2016-2018 workplan, the Adaptation Committee (AC) agreed to develop an inventory of ongoing M&E work, including by the Least Developed Countries Expert Group (LEG), the Global Environment Facility (GEF) and GIZ, as well as existing platforms fostering knowledge exchange on adaptation M&E, including the Global Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA). The AC requested the support of the Nairobi work programme on impacts, vulnerability and adaptation to climate change (NWP) in developing this inventory.
2. The Subsidiary Body for Scientific and Technological Advice (SBSTA) at its forty-fourth session welcomed the activities recommended by the AC for implementation by the NWP and requested the NWP to undertake these, including developing an inventory of ongoing M&E work. SBSTA 44 noted that the activities will strengthen the role of the NWP in providing knowledge support to the work of the AC.¹
3. Based on the analysis of the inventory and in line with its workplan, the AC will agree on additional work on M&E systems and impact evaluations.
4. This note first presents the scope and structure of the inventory (section 2) before presenting the key results of its analysis (section 3). The note concludes with possible next steps, the AC may wish to consider (section 4).

2. Scope and structure of the inventory

5. The inventory of ongoing M&E work is available at <http://unfccc.int/files/adaptation/groups_committees/adaptation_committee/application/msexcel/ac10_5b_inventory_m_and_e.xls>. It is derived from a review of ongoing M&E work undertaken by countries (at national and subnational levels) and relevant organizations. It builds upon relevant activities undertaken by the AC and the NWP, in particular the AC's workshop on the monitoring and evaluation of adaptation held in 2013,² the synthesis report on M&E developed under the NWP,³ and the compendium on methods and tools under the NWP.⁴
6. In line with the AC's workplan, the literature reviewed to prepare this inventory include the following synthesis documents:

¹ FCCC/SBSTA/2016/2, paragraph 17.

² Further details on the AC's workshop are available at <unfccc.int/7744>.

³ FCCC/SBSTA/2010/5.

⁴ <unfccc.int/5457>.

- a) OECD report. National Climate Change Adaptation: Emerging Practices in Monitoring and Evaluation. 2015. Available at <www.oecd.org/environment/cc/national-climate-change-adaptation-9789264229679-en.htm>.
 - b) Bours, D, et.al (Sea Change, UKCIP). "Monitoring and evaluation for climate change adaptation and resilience: A synthesis of tools, frameworks and approaches", 2014. Available at <www.ukcip.org.uk/wp-content/PDFs/SEA-Change-UKCIP-MandE-review-2nd-edition.pdf>.
 - c) GIZ. Vulnerability assessments: Experience of GIZ with vulnerability assessments at the local level. Available at <www.seachangecop.org/node/2922>.
 - d) UNEP. PROVIA guidance on assessing vulnerability, impacts and adaptation to climate change: consultation document. 2013. Available at <www.unep.org/provia/Portals/24128/PROVIA_guidance_report_low_resolution.pdf>.
7. In addition, the inventory also draws upon other literature sources, including published M&E tools and frameworks, programme evaluations, country publications (including submitted national adaptation plans (NAPs)) and academic papers. Corresponding literature sources for each M&E tools and framework can be found in the inventory.
8. It is important to note that this inventory is not exhaustive and aims to provide an overview of M&E tools and frameworks derived from the relevant, recent and easily accessible resources.
9. Information in the inventory is presented in an excel spreadsheet. For each M&E tool and framework, it includes a short description, the name of the responsible government/organization, sector, and scale of applicability, and whether or not the tool/framework has been implemented. If there are specific cases where the tool/framework has been implemented, brief information on these case studies is also included in the inventory.
10. The existing M&E tools and frameworks are grouped under the following categories, when possible:⁵
- a) Political readiness monitoring, which aims mainly at monitoring the adaptation policy process, including monitoring inputs and outputs. M&E tools and frameworks under this category examine countries' readiness, including institutions, stakeholder consultations, information availability, decision-making techniques, technology and diffusion of adaptation research. National audits fall under this category.
 - b) Project, policy, and programme evaluations, which aim mainly at evaluating the outputs and outcomes of adaptation measures. M&E tools and frameworks under this category identify which approaches to adaptation are effective in achieving agreed adaptation objectives and in helping understand some of their enabling factors for success;
 - c) Risk and vulnerability assessments, which aim at examining climate risks and predicting future vulnerabilities through vulnerability assessments and provision of a baseline against which future adaptation can be monitored and evaluated.
11. The inventory also provides information on the different types of indicators employed by the various tools and frameworks:
- a) General socio-economic indicators to provide information on the broader state of the system;
 - b) Adaptation-specific indicators to provide specific information against each objective of a project/policy or programme to monitor and evaluate whether adaptation processes are effective;
 - c) Process indicators to monitor whether or not certain procedural milestones have been met, e.g. implementation of a certain policy;
 - d) Outcome indicators to monitor and evaluate actual adaptation outcomes, e.g. reduction in economic losses due to floods.
12. Information on the applicability of these tools and frameworks is relevant to understand whether the M&E tools/framework are applicable at project level (e.g. a framework or a tool used to evaluate a

⁵ The definition of the different typologies are adapted from the OECD report "National Climate Change Adaptation: Emerging Practices in Monitoring and Evaluation", 2015. Available at <www.oecd.org/environment/cc/national-climate-change-adaptation-9789264229679-en.htm>.

particular project); local level, national level or link different levels of intervention⁶ (i.e. a tool or a framework provides information on aggregating indicators or other evidence (e.g. from the local or subnational level to national level)).

13. In addition to the inventory worksheet, an additional worksheet entitled - 'literature on M&E' includes supplementary information on M&E tools and frameworks, which contains relevant additional information based on scientific/peer reviewed papers and synthesis documents.

3. Key results

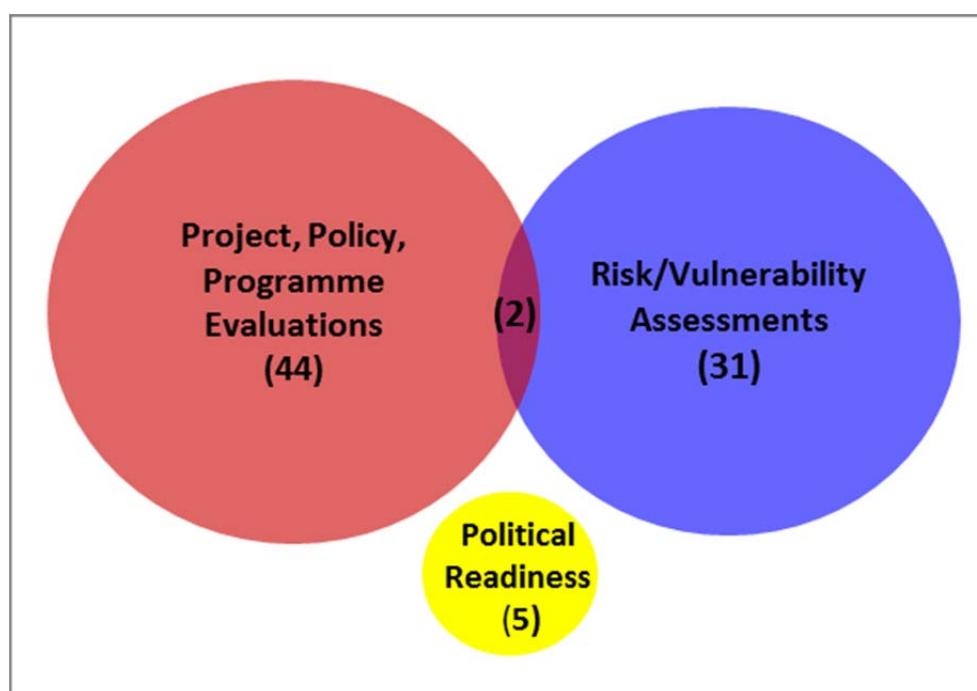
14. Approximately 90 examples of M&E tools and frameworks have been incorporated into the inventory.

15. Of these, 56 tools and frameworks, through one or several case studies, have evidence of being implemented. The tools and frameworks which were developed for a specific country (majority of the examples are focused in South East Asia and Africa) could have been developed for that particular context and hence the applicability of such tools and frameworks in other countries and regions would need to be assessed.

16. Based on the review, including the published NAPs of Burkina Faso, Brazil, and Cameroon, the majority of the work seems to have been undertaken in Southeast Asia, Africa, and Small Island Developing States.

17. The majority of the tools and frameworks fall under the category of project, policy and programme evaluations, followed by risk and vulnerability assessments (see figure 1 below). With regards to the different types of indicators, 42 describe process indicators while 34 describe outcome/result indicators.

Figure 1. Distribution of M&E tools and frameworks by categories



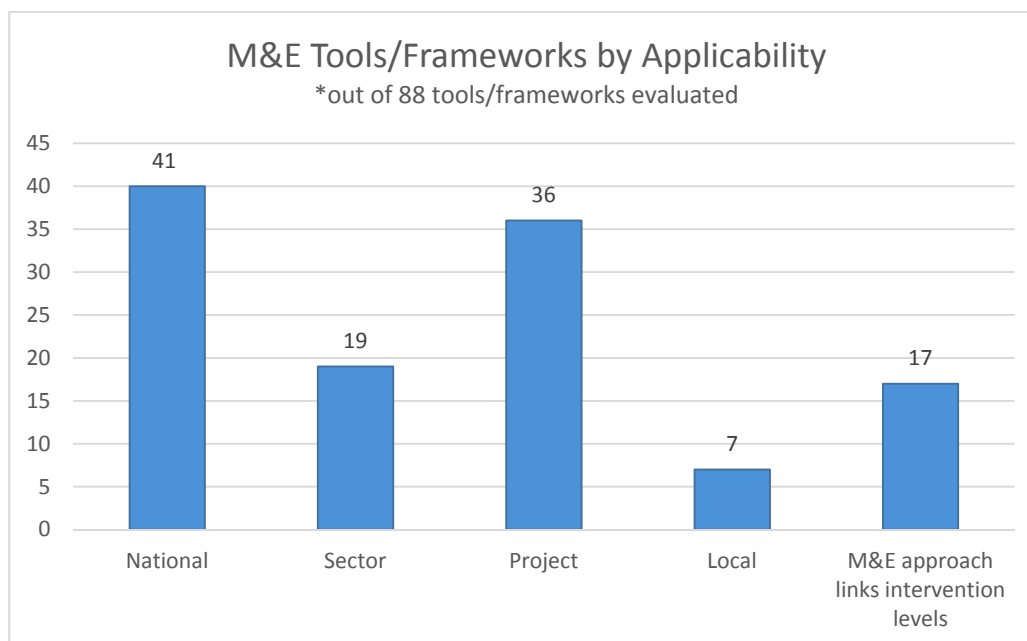
Source: UNFCCC 2016

18. The tools and frameworks have diverse levels of applicability as illustrated in figure 2 below. There are about 17 examples of tools and frameworks that provide guidance on aggregating indicators or other evidence (e.g. from the local or subnational level) to a broader level of adaptation (e.g. at the national level). With regards to the applicability of the M&E tools and frameworks at the national level, there are 41 such examples, including the LEG's Progress, Effectiveness and Gaps (PEG) M&E tool for the NAP process, of which 27 have been implemented/piloted and constitute a combination of different kinds of categories (i.e. of these, 7 are risk/vulnerability assessments; 5 are project, policy, or programme evaluations; and 3

⁶ The category on M&E approaches linking different levels of intervention has also been used in Bours, D, et.al (Sea Change, UKCIP). "Monitoring and evaluation for climate change adaptation and resilience: A synthesis of tools, frameworks and approaches", 2014.

indicate political readiness). Of the ones applicable at the national level, there are only few examples that link different level of interventions. For example, Learning to ADAPT emphasizes measuring and evaluating adaptation against a backdrop of shifting benchmarks and evolving weather patterns.

Figure 2. Applicability of M&E tools and frameworks



Source: UNFCCC 2016

19. Some of the M&E tools and frameworks contained in the inventory have specific sectoral focus, for example, specific to human settlements, water resources, ecosystems, agriculture and food security, and health.

20. Although participants in the AC's workshop on the monitoring and evaluation of adaptation held in 2013 stressed the need for tools beyond indicators to fully reflect adaptation results and include the most vulnerable in evaluation (especially through dialogue and qualitative narratives), consideration of the most vulnerable groups is still not frequently cited in literature and M&E toolkits reviewed.

21. Similarly, despite the fact that participants in this workshop emphasized the need for innovation and for locally appropriate M&E frameworks, many examples still attempt to create a one-size-fits-all solution, leading to vague tools that are sparse on details. However, the inventory also includes some examples, such as AdaptME tool kit, that emphasizes the importance of context and can be either used as a basis for a new M&E system or can be applied to an existing system or framework.

22. Although information on financial and other resource requirements in undertaking M&E processes is not mentioned in this inventory, the review of literature leads to the recognition of the constraints of financial and other resources in undertaking comprehensive M&E processes. Actual costs for M&E are almost never provided, presumably because frameworks and toolkits are intended for use in a variety of settings. As highlighted in the NWP synthesis report in 2011, there still remain issues with financial, human and technical resources and capabilities; adequate baseline data and historical trends for analysis; and reporting and exchange of data.

23. The available literature addresses a mix of M&E tools and frameworks focusing on both top-down and bottom-up approaches to adaptation. Very few literature reviewed discuss impact evaluation, which confirms the difficulty in using climate-related indicators in monitoring success of adaptation actions.

4. Possible next steps

24. The AC may wish to review the information contained in the inventory with a view to agreeing on additional work on M&E systems and impact evaluations, as appropriate, to be undertaken in 2017.

25. When considering additional work, the AC may wish to take note that SBSTA 44 invited NWP partner organizations and other relevant organizations, including the IPCC, to submit to the secretariat, by 20 September 2017, information on indicators of adaptation and resilience at the national and/or local level or for specific sectors. The SBSTA requested the secretariat to utilize those submissions to inform a meeting that the AC agreed to convene in 2018, which aims at exchanging views on national adaptation goals/indicators and how they relate to indicators/goals for sustainable development and for disaster risk reduction in the context of the Sendai Framework for Disaster Risk Reduction 2015–2030. The SBSTA also invited the AC and the LEG to consider the submissions so as to inform their work on reviewing the effectiveness and adequacy of adaptation.

26. At present, the AC may wish to request the secretariat :

- a) To add additional existing M&E tools and frameworks to the inventory, including those referred to in INDCs/NDCs/undertakings and during the TEP-A process;
 - b) To further assess the existing M&E tools and approaches, in particular the ones that link different levels of interventions, including providing information on barriers and gaps to their applicability at the national level, as input to the AC's and LEG's work on methodologies for reviewing the adequacy and effectiveness of adaptation and support.
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