DEVELOPING RESULT FRAMEWORKS AND M&E SYSTEMS FOR CLIMATE CHANGE ADAPTATION PROJECTS

Training Workshop
05 September 2012
CCCA Trust Fund Secretariat
Presented by Emanuele Cuccillato,
M&E Technical Advisor

Cambodia Climate Change Alliance (CCCA)
Implemented by: Ministry of Environment
Supported by: European Union, UNDP Empowered lives Resilient nations, Danida, EMBASSY OF SWEDEN

Objectives

- Sharing lessons form ongoing grant projects from the 1st call from proposal
- Introducing key concepts and tools required by the applicants for developing the Result Frameworks and monitoring systems in the project proposals
- Discussing main challenges and approaches for monitoring climate change adaptation initiatives

Outline of the session

- **8:20 – 9.15**
  - Lessons learned from ongoing grant projects under 1st call for proposals, By Yem Sokha
  - Introducing results based management
  - Approaches and challenges in monitoring climate change adaptation projects
  - Developing Results frameworks and selecting indicators
- **9.15 – 9.30**
  - Questions and discussion
- **9.30 – 10.00**
  - Hands on exercise 20 min + 10 min feedback: working on the results framework for the proposal and discussing issues and challenges
- **10.15 – 10.45**
  - Designing and establishing a project monitoring and evaluation system 20 min + 10 minutes discussion

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Outline of the session

- Lessons learned from ongoing grant projects under 1st call for proposals 10 min
- Introducing results based management 10 min
- Approaches and challenges in monitoring climate change adaptation projects 5 min
- Developing Result frameworks and selecting indicators 30 min
- Questions and discussion 15 min
- Hands on exercise 20 min + 10 min feedback: participants will work on the results framework for their proposal and share the challenges they are facing
- Designing and establishing a project monitoring and evaluation system 20 min + 10 minutes discussion

Results Based Management

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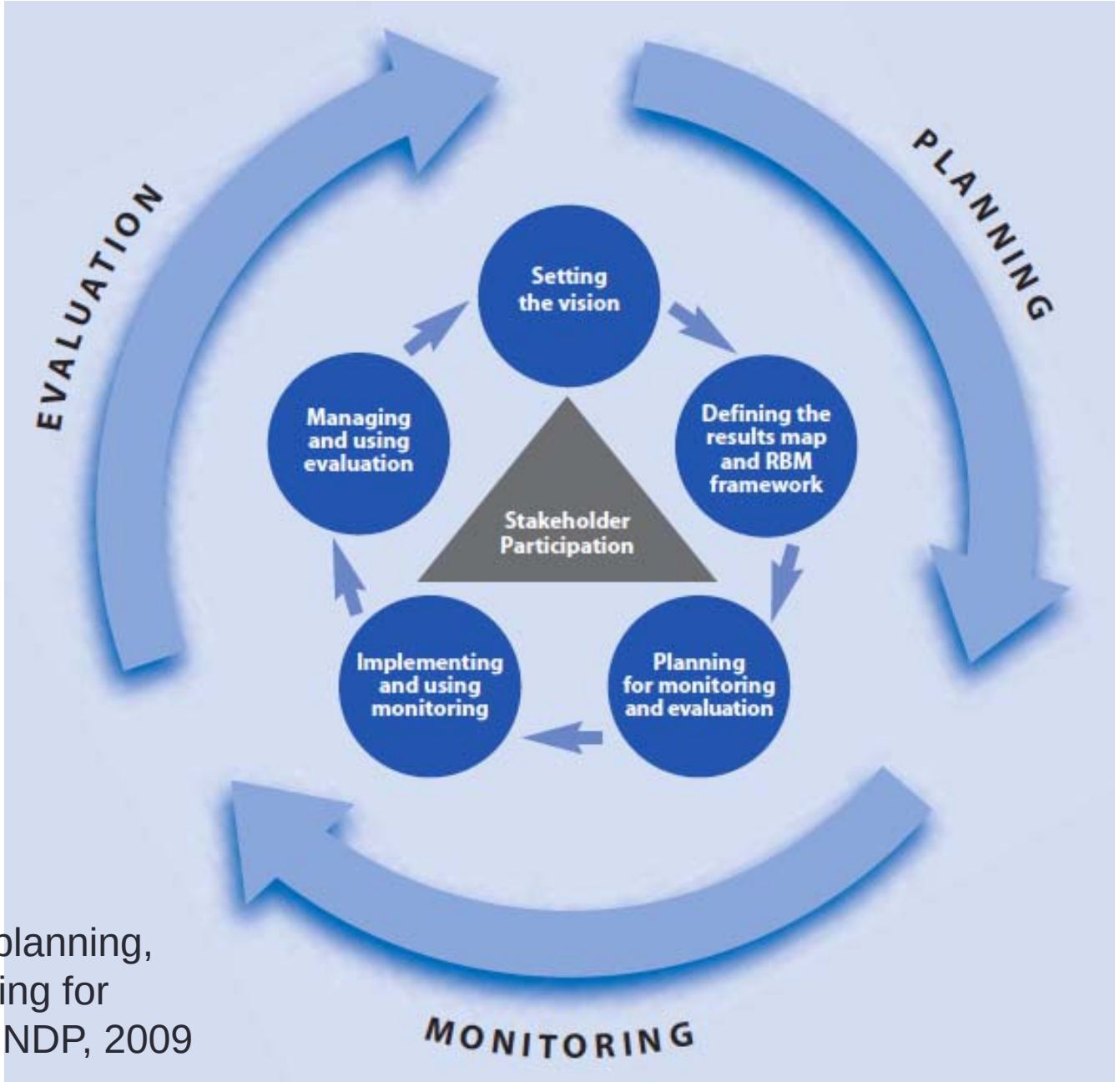
Results Based Management in practice

- Results Based Management (RBM) is aimed at achieving high performance and demonstrable results in the development and implementation of projects
- Managing for results:
  - Links planning, management, monitoring and evaluation
  - Focuses on learning, risk management and accountability
  - Is a continuous process
  - Includes approaches and tools (such as Result Frameworks and indicator systems).

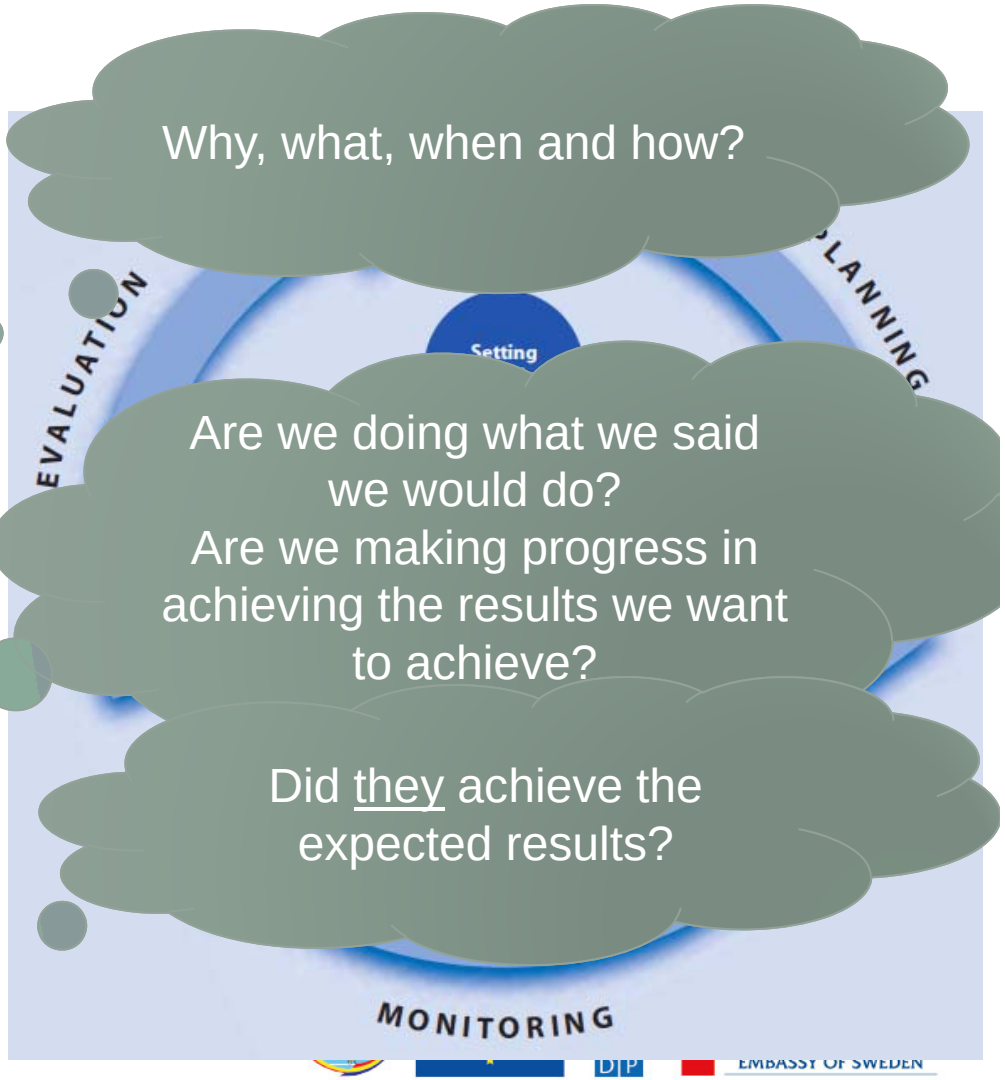
RBM key elements



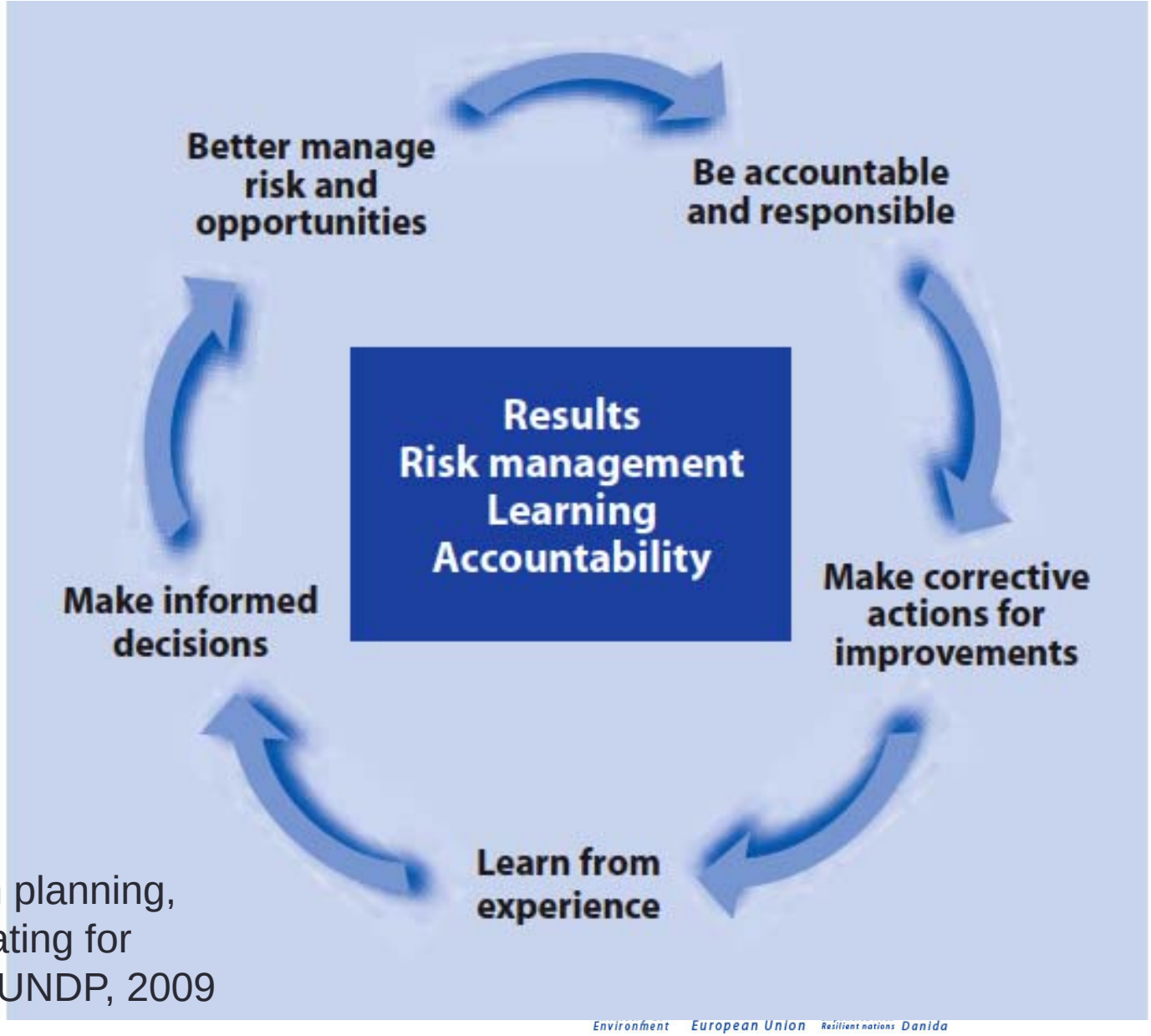
Source: Handbook on planning, monitoring and evaluating for development results, UNDP, 2009

What is the difference between: planning, monitoring and evaluation?

- Planning:
  - at the inception of the program and at regular intervals
  - setting the overall direction
- Monitoring:
  - ongoing during project implementation: adjusting while doing
  - compare planning with actual progress
- Evaluation:
  - Independent, overall judgment
  - At specific points in time (mid term, end of project)



Benefits of RBM



Source: Handbook on planning, monitoring and evaluating for development results, UNDP, 2009

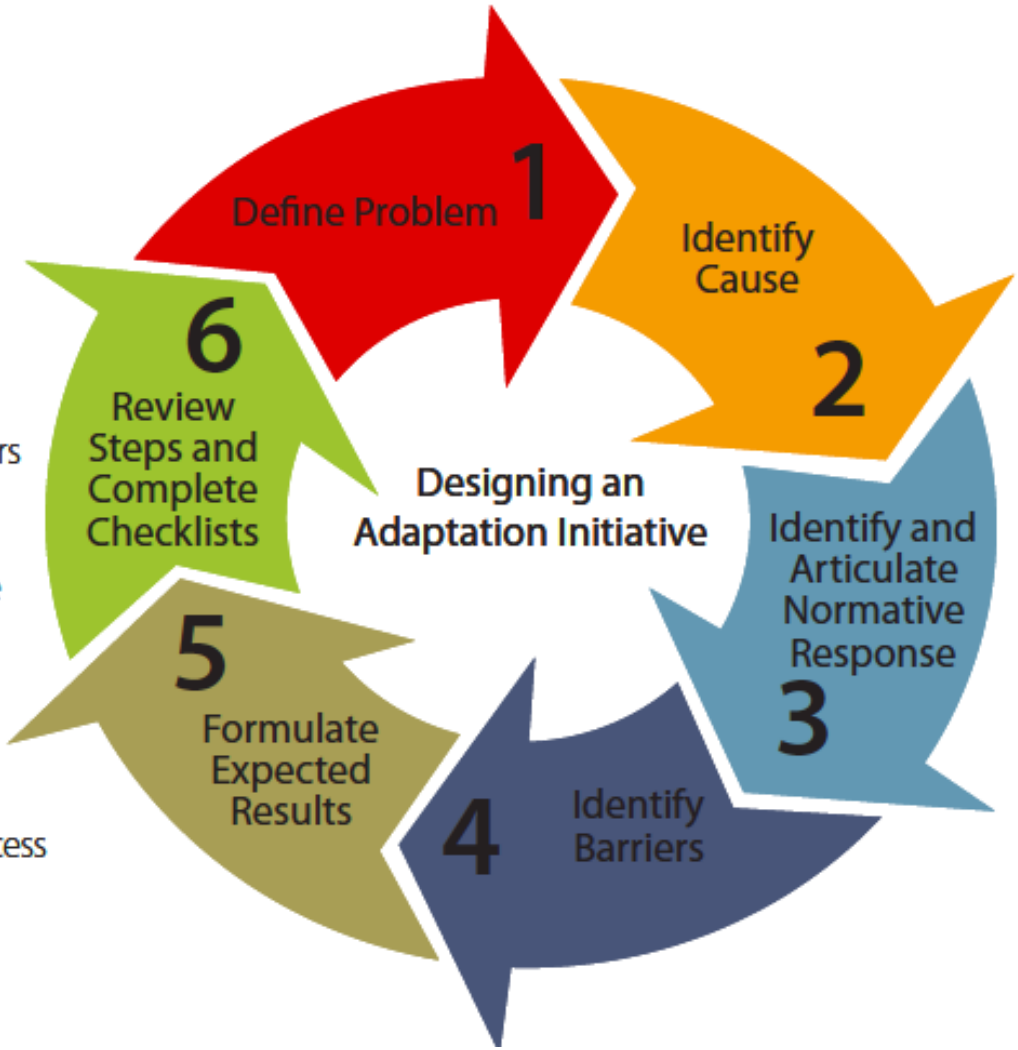
Designing climate change adaptation initiatives: a UNDP toolkit for practitioners

Six Steps for Designing an Adaptation Initiative

The preparation of an adaptation initiative can be made easy by a series of simple but sequential steps. They include:

1. Defining the problem
2. Identifying the causes of the problem
3. Identifying and articulating the normative response
4. Identifying key barriers
5. Designing project responses to overcome key barriers
6. Reviewing the first five steps and completing checklists to ensure due diligence in meeting source of fund requirements

These steps represent a minimum set of activities for defining a project with a logical structure. Stakeholder consultation is critical for each activity. A non-linear process should ideally be followed when undertaking these core activities.



Approaches and challenges in monitoring climate change adaptation projects

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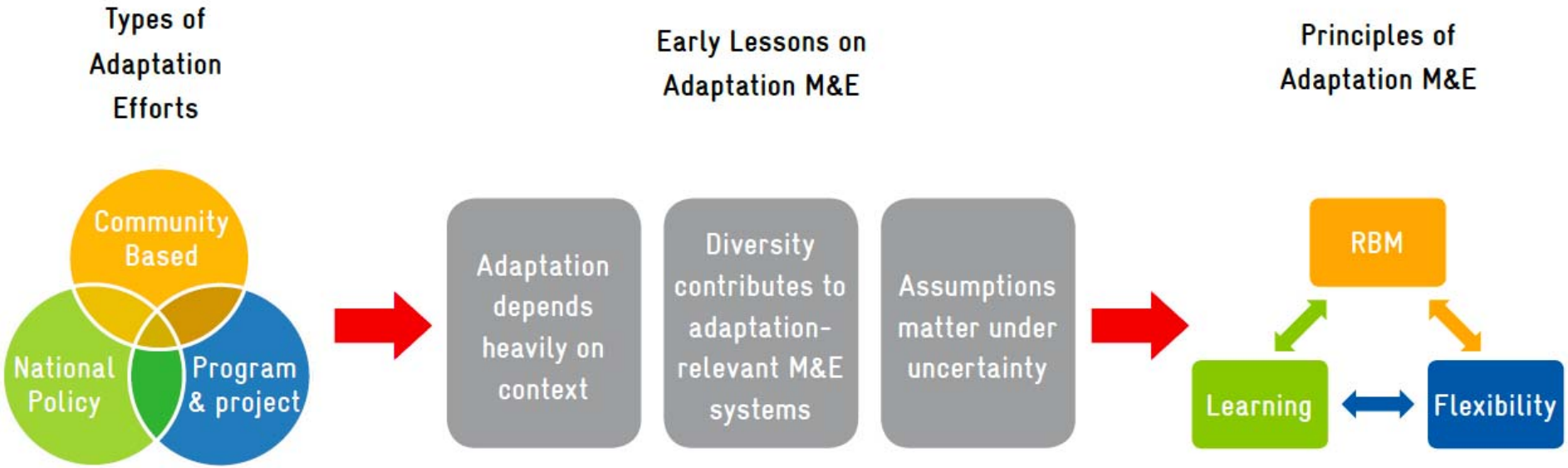
M&E of adaptation: a new field

- M&E of climate change adaptation is not well developed compared to other aspects of adaptation like vulnerability assessment
- A very new area that is receiving increasing attention; approaches are just being developed and start to be tested
- Some frameworks and tools just start to emerge:
  - General frameworks: WRI, GIZ: IIED; IDS;
  - Program/sector specific: GEF, WB
  - Community Based Adaptation: CARE
- Communities of practice are being organized to share experiences and learn:
  - ClimateEval: http://www.climate-eval.org/ GEF, SIDA, SDC
  - Sea Change: South East Asia Community of Practice for Climate change interventions www.seachangecop.org PACT

Challenges of Monitoring and evaluation of climate change adaptation initiatives

- When adapting for infrequent extreme events (e.g. flood), it is difficult to evaluate results if event does not happen
- Time frame: adaptation is a long term process, the effects might be visible long after the project is finished
- Disagreement about what is good adaptation and how to measure it; we are not sure of what works and what doesn't
- Adaptation as an outcome (static) or as a process (dynamic)
- Climate change is complex, cross-cutting and multi-sectorial

Early lessons



- Design for learning
- Manage for results
- Maintain Flexibility

Source: Making Adaptation Count, Margaret Spearman/Heather McGray, 2011

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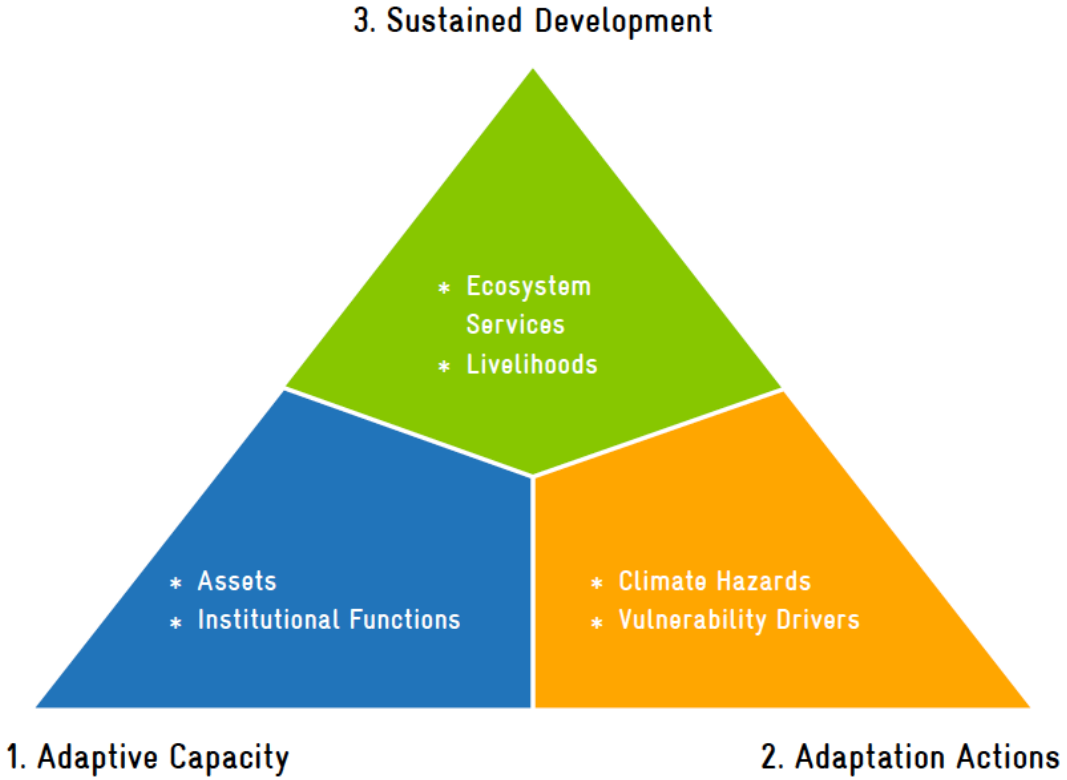
Selecting indicators

- Address climate vulnerability and risk, informed by the assessments
- Measure changes in the adaptation situation of the target group
- Target the intervention's adaptation objectives
- Link back and test the adaptation hypothesis (assumptions!)

Examples of indicators for each adaptation dimension



Source: Making Adaptation Count, Margaret Spearman/Heather McGray, 2011

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Developing Results frameworks and selecting indicators

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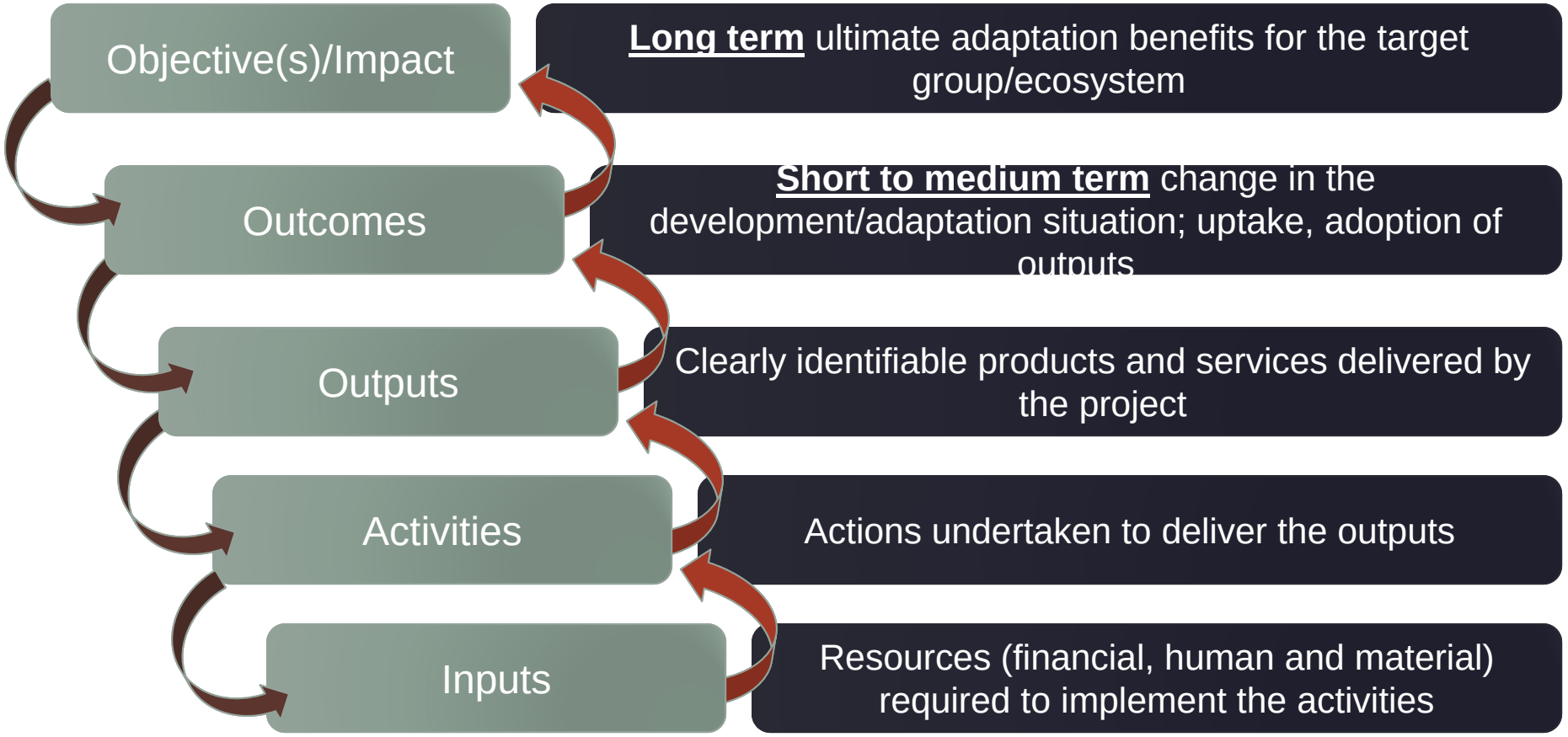
Project intervention logic: the Results framework



Results chain:
logical sequence in planning and implementation

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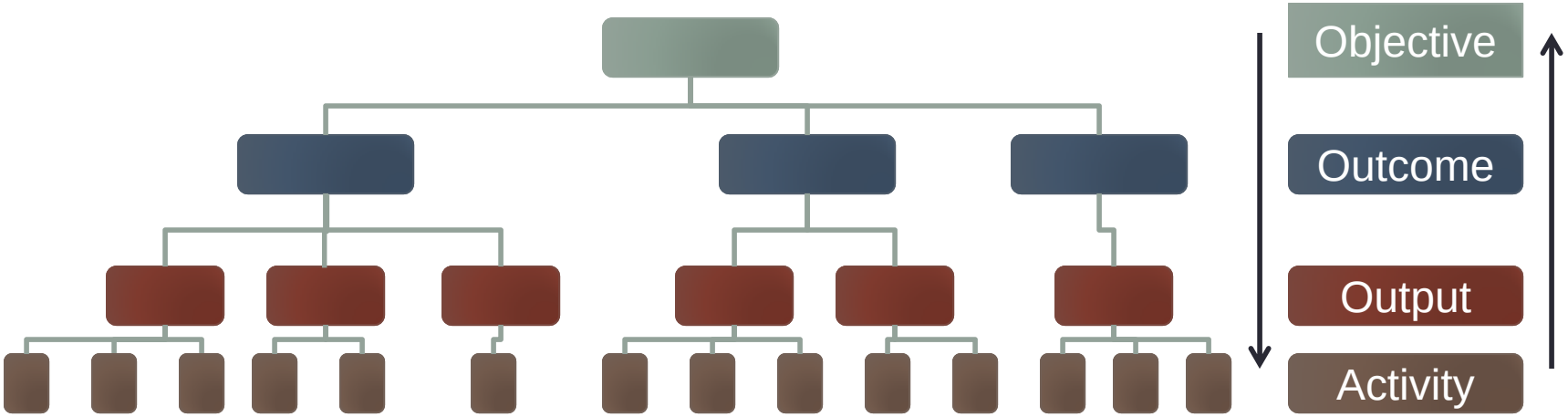
Assumptions and Risks

- Assumptions: the necessary and positive conditions that allow or a successful cause-and-effect relationship between different levels of results;
  - Communities are committed to participate in the adaptation planning process.
  - Past Climate data will be made available by the WMO.
- Risks: potential events or occurrences beyond the control of the project that could adversely affect the achievement of results: What might happen to prevent us from achieving the results?
  - Unforeseen climate effects lead to increased vulnerability.
  - Economic crisis will exacerbate poverty in the intervention area.

Key points

- It is good practice to have only one objective
- Hierarchical structure of RF:



- Causal relationship between levels
- Clear distinction in logical levels, Results (Outcomes) are different from outputs

Why is it important?

- Pros and cons of LF approach
- Specific issues for application in the context of adaptation

RF Example: an adaptation project in agriculture

RF Level	
Objective/Impact	Increase the resilience of subsistence farmers to extreme droughts in 1 Target Province through improved climate information services.
Outcome	1. Farmers use effectively climate information services for reducing the impact of drought on crop yields.
Outputs	1.1 Climate models are developed to assess climate change impacts on main crops and forecast extreme drought events. 1.2 User friendly climate information products for provincial agricultural offices are prepared. 1.3 A rural radio information service broadcasting a "climate change and agriculture bulletin" is established. 1.4 The capacities of provincial agricultural services to provide climate related extension services are improved.
Activities	1.1.1 Conduct research on climate change impacts on main agricultural crops. 1.1.2 Develop an early warning system to track drought risk. 1,2.1 Identify key climate information needs of farmers. 1.2.2 Design and produce a monthly crop monitoring and forecast bulletin. 1.3.1 ….. 1.4.1 Organizing trainings for provincial level officials on use and communication of climate data.

Examples of Common issues

RF Level		Example of problems…the formulation should be revised
Objective/Impact	Increase the resilience of subsistence farmers to extreme droughts in 2 Target Province through improved climate information services.	Conduct capacity building and develop climate information services for adapting to climate change. • Beneficiaries? • Where? • How is adaptation achieved? • Long term perspective?
Outcome	1. Farmers use effectively climate information services for reducing the impact of drought on crop yields. 2. Farmers understand key concepts of climate change and techniques to minimize impacts on crops.	A rural radio climate information service is established Climate models are developed and impact assessments on crop conducted Information products targeted to farmers are available • Uptake of skills? • Behavioral change? • Short-mid term effect on the adaptation situation?
Outputs	1.1 Climate models are developed to assess climate change impacts on main crops and forecast extreme drought events. 1.2 User friendly climate information products for provincial agricultural offices are prepared. 1.3 A rural radio information service broadcasting a "climate change and agriculture bulletin" is established. 1.4 Farmers field schools focused on drought risk management are organized 1.5 The capacities of provincial agricultural services to provide climate related extension services are improved through 1 week training courses.	Research on impacts of climate change on agriculture Develop a rural radio program on climate change 60 Farmers have been trained on use of drought resistant seeds during the month of October • Is it a well identified product of an activity? • Can it be measured? • Does it contain already a target in the statement?

Key features of indicators

- Indicators should be SMART :
  - Simple/Specific
  - Measurable
  - Achievable
  - Realistic
  - Timebound
- Whenever possible, disaggregated by gender
- Qualitative or quantitative:
  - Mechanisms exist for disseminating climate information
  - Climate change aspects integrated in community planning
  - Level of awareness of fisherman of climate risk (low, medium, high)
  - % of households growing crops that are resilient to climate hazards affecting the target area (e.g. drought-resistant varieties)

Tracking progress and measuring impacts

- Output level: implementation performance indicators, tracking progress
- Objective and Outcome Level: measuring impacts
- Important distinction between outcome and output indicators:
  - Outcomes are intermediate effects of outputs on target group and thereby address the issue of uptake (i.e., coverage or adoption) of project outputs resulting from project activities.
  - An outcome indicator could be “Percent of trainees implementing new practices” but it would not be “number of trainings conducted.”
  - In order to be meaningful and measurable, it is recommended that outcome indicators be limited to a minimum set of “aggregated” indicators which relevant to the target group

Examples of indicators

RF Level		Indicators examples
Objective/Impact	Increase the resilience of subsistence farmers to extreme droughts in 2 Target Province through improved climate information services.	% of undernourished farmers by province (m/f) % of farmers migrating because of food crisis (m/f) % of annual crop yield loss in case of extreme drought events by province
Outcome	1. Farmers use effectively climate information services for reducing the impact of drought on crop yields.	1.1 % of farmers using bulletins to decide the agricultural calendar (by province, m/f) 1.2 % of farmers understanding the relation between climate change and increased variability of precipitation (by province, m/f)
Outputs	1.1 Climate models are developed to assess at a relevant scale climate change impacts on main crops and forecast extreme drought events. 1.2 User friendly climate information products for provincial agricultural offices are prepared. 1.3 A rural radio information service broadcasting regularly a "climate change and agriculture bulletin" is established. 1.4 Farmers field schools focused on drought risk management are organized 1.5 The capacities of provincial agricultural services to provide climate related extension services are improved through 1 week training courses.	1.1.1 Number of climate models available. 1.1.2 Scale of climate models. 1.1.3 Reliability in forecasting extreme drought events. 1.2.1 Number of bulletins issued per year by the Min. of Agriculture. 1.3.1 Agricultural bulletins are broadcasted twice a week by rural radios. 1.3.2 % of farmers that rate the radio broadcasts as “clear and useful” (by province, m/f) 1.4.1 % of farmers trained on climate change for crop management (by province, m/f) 1.5.1 Number of trainings for staff on use of climate information for crop management. 1.5.2 % of staff trained (by province, m/f)

Baseline data

Project performance is assessed by comparing data collected at the initial stages of project preparation (i.e., prior to project implementation) with the value of the indicators after implementation:

- compare the situation after the project (with adaptation) with the initial characterization (initial conditions prior to project implementation); or
- compare the situation after the project with a baseline (control site) that describes
  - how the system would have performed in the absence of each implemented
  - adaptation action (non-adaptation scenario or “business as usual”).

Source:
Mainstreaming Adaptation to Climate Change in Agriculture and Natural Resources Management Projects, Guidance Note N.8, World Bank

Baselines and targets

Objective, Results (outcomes), outputs	Indicators examples	Baseline	Target
Increase the resilience of subsistence farmers to extreme droughts in 2 Target Province through improved climate information services.	% of undernourished farmers by province (m/f) % of farmers migrating because of food crisis (m/f) % of annual crop yield loss in case of extreme drought events by province	10% m, 14% f 5 % m, 4% f 15 %	5% m, 5% f 0% m, 0% f 4%
1. Farmers use effectively climate information services for reducing the impact of drought on crop yields.	1.1 % of farmers using bulletins to decide the agricultural calendar (by province, m/f) 1.2 % of farmers understanding the relation between climate change and increased variability of precipitation (by province, m/f)	0% 20% m, 20% f	70% m, 70% f 70% m, 70% f
1.1 Climate models are developed to assess at a relevant scale climate change impacts on main crops and forecast extreme drought events. 1.2 User friendly climate information products for provincial agricultural offices are prepared. 1.3 A rural radio information service broadcasting regularly a "climate change and agriculture bulletin" is established. 1.4 Farmers field schools focused on drought risk management are organized 1.5 The capacities of provincial agricultural services to provide climate related extension services are improved through 1 week training courses	1.1.1 Number of climate models available. 1.1.2 Scale of climate models. 1.1.3 Reliability in forecasting extreme drought events. 1.2.1 Number of bulletins issued per year by the Min. of Agriculture. 1.3.1 Agricultural bulletins are broadcasted twice a week by rural radios. 1.3.2 % of farmers that rate the radio broadcasts as “clear and useful” (by province, m/f) 1.4.1 % of farmers trained on climate change for crop management (by province, m/f) 1.5.1 Number of trainings for staff on use of climate information for crop management. 1.5.2 % of staff trained (by province, m/f)	1 Regional and global Low 0 N/A N/A 20% m, 10% f N/A 10% m, 8% f	3 Local High 12 YES 80% m, 80% f 70% m, 70% f 15 40% m, 40% f

Explanation of Annex B RF Template

Results Framework

Project Title:

Project Objectives:

Expected Result(s) (Outcomes): Result (Outcome) Indicator(s): (Qualitative or Quantitative)

Outputs	Activities	Objectively verifiable indicators	Baseline	Targets	Sources and Means of Verification	Assumptions/ Risks

Results Framework

Project Objective

Increase the resilience of subsistence farmers to extreme droughts in 2 Target Province through improved climate information services.

Expected Result(s) (Outcomes):

1. Farmers use effectively climate information services for reducing the impact of drought on crop yields.

Result (Outcome) Indicator(s): (Qualitative or Quantitative)

	Baseline	Target	Means of verification
1.1 % of farmers using bulletins to decide the agricultural calendar (by province, m/f)	0%	70% m, 70% f	Field interviews

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Outputs	Activities	Objectively verifiable indicators	Baseline	Target	Sources and Means of Verification	Assumptions / Risks
1.1 Climate models are developed to assess at a relevant scale climate change impacts on main crops and forecast extreme drought events.	A.1.1.1 Conduct research on climate change impacts on main agricultural crops. A.1.1.2 Develop an early warning system to track drought risk.	1.1.1 Number of climate models available. 1.1.2 Scale of climate models. 1.1.3 Reliability in forecasting extreme drought events.	1 Regional and global Low	3 Local High	Technical reports on climate science Technical reports on climate science Technical report on performance assessment	IPCC releases new datasets in time Technical issues for downscaling are solved Solutions for integration of climate and crop models are found

Questions and discussion

Practical exercise 20 min + 10 min discussion: Working on the Results Framework

- Using your proposal as reference, draft a Result Chain [Objective, Expected Results (Outcomes), Outputs]:
  - There is a clear distinction between outcomes and outputs (both in the statement and in the respective indicators):
    - outcomes are reflecting uptake of outputs, behavioral change or medium term change in the adaptation situation
  - At least three indicators for each outcome
    - Indicators are measurable and time bound; have a baseline and a target
    - Use both qualitative and quantitative indicators
    - Try to identify indicators that relate to changes in the risk climate and vulnerability of the target group
  - Use a combination of qualitative and quantitative indicators

Examples of indicators

Framework of Milestones and Indicators for Community-Based Adaptation

	Climate-Resilient Livelihoods	Disaster Risk Reduction	Capacity Development	Addressing Underlying Causes of Vulnerability
National Level	- Government is monitoring, analyzing and disseminating current and future climate information related to livelihoods - Climate change is integrated into relevant sectoral policies - Climate change is integrated into poverty reduction strategy and/or other development policies	- Government is monitoring, analyzing and disseminating disaster risk information - Government is engaged in planning and implementing disaster risk management (prevention, preparedness, response and recovery) - Functional early warning systems in place - Government has capacity to respond to disasters	- Government has capacity to monitor, analyze and disseminate information on current and future climate risks - Government has mandate to integrate climate change into policies - National policies are rolled out at regional and local levels - Resources are allocated for implementation of adaptation-related policies	- Government recognizes specific vulnerability of women and marginalized groups to climate change - Policy and implementation is focused on reducing these vulnerabilities - Civil society is involved in planning and implementation of adaptation activities
Local Government/ Community Level	- Local institutions[2] have access to climate information - Local plans or policies support climate-resilient livelihoods - Local government and NGO extension workers understand climate risks and are promoting adaptation strategies	- Local institutions have access to disaster risk information - Local disaster risk management plans being implemented - Functional early warning systems in place - Local government has capacity to respond to disasters	- Local institutions have capacity to monitor, analyze and disseminate information on current and future climate risks - Local institutions have capacity and resources to plan and implement adaptation activities	- Local planning processes are participatory - Women and marginalized groups have a voice in local planning processes - Local policies provide access to and control over critical livelihoods resources for all
Household/ Individual Level	- People are generating and using climate information for planning - Households are employing climate-resilient agricultural practices - Households have diversified livelihoods, including non-agricultural strategies - People are managing risk by planning for and investing in the future	- Households have protected reserves of food and agricultural inputs - Households have secure shelter - Key assets are protected - People have access to early warnings for climate hazards - People have mobility to escape danger in the event of climate hazards	- Social and economic safety nets are available to households - Financial services are available to households - People have knowledge and skills to employ adaptation strategies - People have access to seasonal forecasts and other climate information	- Men and women are working together to address challenges - Households have control over critical livelihoods resources - Women and marginalized groups have equal access to information, skills and services - Women and marginalized groups have equal rights and access to critical livelihoods resources

Source: CARE website

Monitoring systems for climate adaptation projects

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Requirements

- The M&E system that will be used to mange and monitor the project has to be described in the Project Proposal
- Grantees can use their own internal systems and formats
- There are specific reporting requirements (quarterly reports, annual progress report, final report), hence the Grantee's system should be able to support the production of the reports to be prepared
- Capacity assessment will be conducted and advice provided

Main features of a project monitoring system

- “A well designed M&E system forms the basis for asking the “right” question at the “right” time” and for knowing where you are at all times.
- Key functions:
  - Formulate an adaptation hypothesis
  - Establishing a baseline
  - Tracking progress
  - Informing management and correcting direction
  - Ensuring accountability, compliance and transparency
  - Support reporting
  - Generating knowledge and learning: what works and what does not work?
  - Creating an institutional memory

Building blocks of an M&E system

- Tools and templates for:
  - Planning
  - Discussing progress (regular staff meetings, field visits, stakeholder's monitoring meetings)
  - Tracking progress (Result Framework, Workplan)
  - Reporting (Quarterly Progress Reports, etc.)
  - Visualizing progress (maps, photo database)
  - Measuring indicators (field surveys, focus groups, etc.)
  - Financial management and reporting
  - Capturing and documenting behavioral change (e.g. narratives)

Building blocks of an M&E system

- Procedures for:
  - Collecting, analyzing and reporting
  - Storing information and supporting documents (means of verification)
  - Approval and certification
- A monitoring plan:
  - Frequency of monitoring different aspects of the project (stakeholder awareness, surfaces planted, progress of adaptation planning process)
- Adequate and committed human resources
  - Who is responsible for what?
  - Are the capacities sufficient?
  - Are there clear TORs formally agreed?
  - Clear arrangements if several partners are involved.

Important points

- A well functioning M&E helps guiding the intervention strategy and implementation. It a part of the overall management of the project.
- The adequacy of the M&E system will have to be checked from time to time to make sure that it fulfills its objectives
- An M&E plan should be developed during the project start-up; the plan should be communicated to all the stakeholders that will be involved in the process

Example of implementation progress monitoring table

Output	**Activities** (List key activities including M& E activities)	**Progress.(Month)** _

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Baselines and targets

Objective, Results (outcomes), outputs	Indicators examples	Baseline	Target	Current Status (Feb/13)
Increase the resilience of subsistence farmers to extreme droughts in 2 Target Province through improved climate information services.	% of undernourished farmers by province (m/f) % of farmers migrating because of food crisis (m/f) % of annual crop yield loss in case of extreme drought events by province	10% m, 14% f 5 % m, 4% f 15 %	5% m, 5% f 0% m, 0% f 4%	7%m, 10%f 12% m, 2% f 5%
1. Farmers use effectively climate information services for reducing the impact of drought on crop yields.	1.1 % of farmers using bulletins to decide the agricultural calendar (by province, m/f) 1.2 % of farmers understanding the relation between climate change and increased variability of precipitation (by province, m/f)	N/A 20% m, 20% f	70% m, 70% f 70% m, 70% f	50% m, 60% f 50% m, 40% f
1.1 Climate models are developed to assess at a relevant scale climate change impacts on main crops and forecast extreme drought events.	1.1.1 Number of climate models available. 1.1.2 Scale of climate models. 1.1.3 Reliability in forecasting extreme drought events.	1 Regional and global Low	3 Local High	3 Local Medium
1.2 User friendly climate information products for provincial agricultural offices are prepared.	1.2.1 Number of bulletins issued per year by the Min. of Agriculture.	0	12	8
1.3 A rural radio information service broadcasting regularly a "climate change and agriculture bulletin" is established.	1.3.1 Agricultural bulletins are broadcasted twice a week by rural radios. 1.3.2 % of farmers that rate the radio broadcasts as “clear and useful” (by province, m/f)	N/A N/A	YES 80% m, 80% f	YES 90% m, 90% f
1.4 Farmers field schools focused on drought risk management are organized	1.4.1 % of farmers trained on climate change for crop management (by province, m/f)	20% m, 10% f	70% m, 70% f	70% m, 70% f
1.5 The capacities of provincial agricultural services to provide climate related extension services are	1.5.1 Number of trainings for staff on use of climate information for crop management. 1.5.2 % of staff trained (by province, m/f)	N/A 10% m, 8% f	15 40% m, 40% f	8 20% m, 20% f

Calculating baselines

- Baselines can be established using secondary data or might require the collection of new data
- Possible data sources are:
  - Cambodia NAPA
  - the UNDP Climate Change Country Profiles for Cambodia
  - the WB Climate risk and adaptation country profile for Cambodia
- Review and synthetize existing information on current climate variability, climate risk and current adaptation based on existing studies and expert opinion
- In case data is unavailable, calculate the indicator based on historical trends

Resources

Vulnerability assessments and baselines:

Cambodia NAPA, 2006

UNDP Climate Change Country Profiles:
http://www.geog.ox.ac.uk/research/climate/projects/undp-cp/

Climate risk and adaptation country profile, Cambodia, World Bank 2011

Communities of practice:

- *www.**climate**-eval.org*
- *http://www.careclimatechange.org*

Resources

Methods and toolkits:

- UNDP Evaluation Handbook, 2009
- UNDP Adaptation Toolkit, 2010
- Designing Climate Change Adaptation Initiatives, 2010 UNDP
- Making Adaptation Count, Margaret Spearman/Heather McGray, 2011
- Tracking adaptation and measuring development, Nick Brooks et al., 2011
- Monitoring and Evaluation for Adaptation: Lessons from Development Cooperation Agencies, OECD
- PMERL Manual, A manual for local Practitioners, 2012, CARE
- Updated results-based management framework for the least developed countries fund (ldcf) and the special climate change fund (sccf) and adaptation monitoring and assessment tool, 2010, GEF
- Learning to ADAPT: monitoring and evaluation approaches in climate change adaptation and disaster risk reduction –challenges, gaps and ways forward, Paula Silva Villanueva, 2012

Thanks for your attention !

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