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Survey for the International Workshop “Tracking Successful Adaptation – Smart Monitoring For Good Results”

Dr. Peter Schultz, ICF International

on behalf of the USAID Climate Change and Resilient Development Project

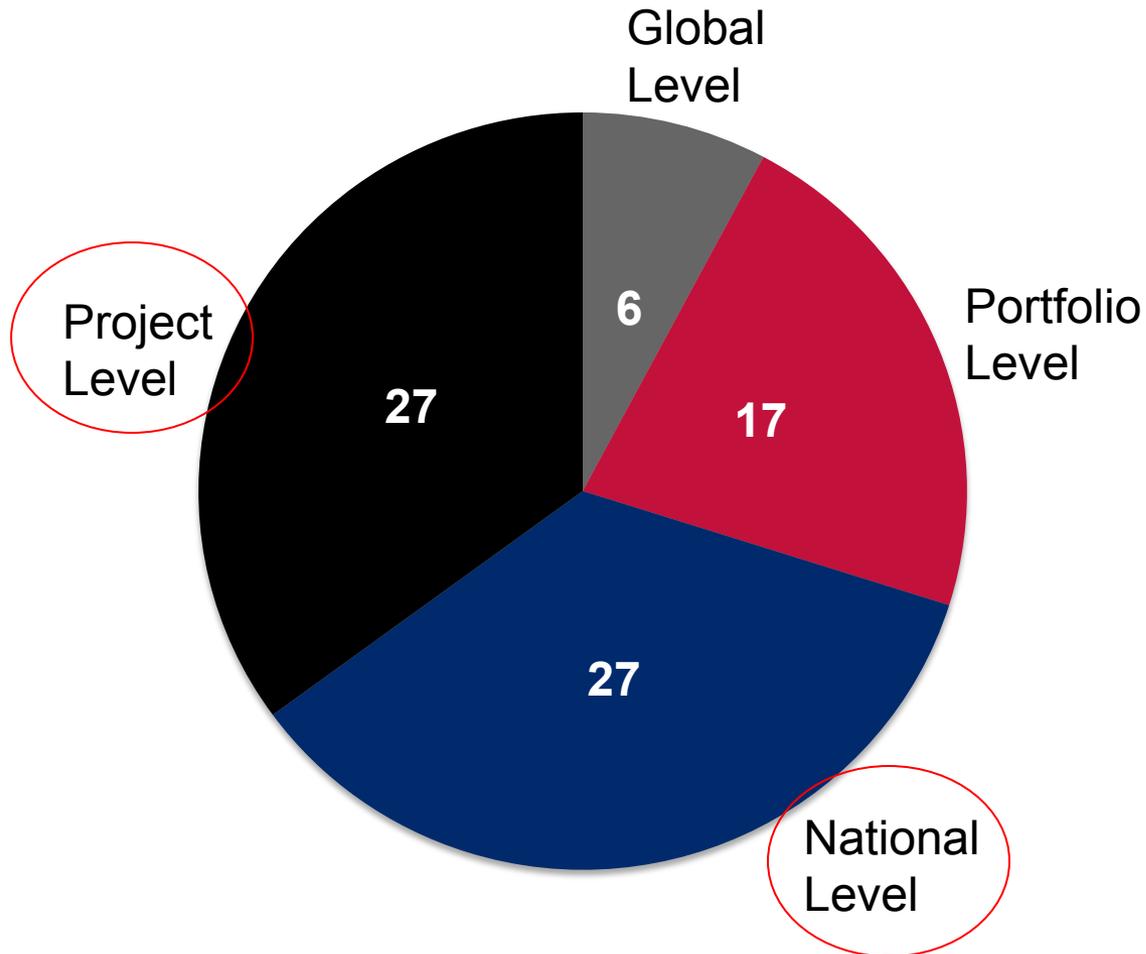
Thanks to: Ashley Allen, Jenny Frankel-Reed, Denise Johnson, Nana Kuenkel, Timo Leiter, Charlotte Mack, Rosamund Mische John, Thuy Phung , and all respondents



- Purpose of the survey:
 - Assess the state of the field
 - Describe key needs, challenges, and priorities
 - Serve as an input to this workshop to spark discussion
- Who participated in the survey:
 - 77 people working in international development, M&E, and/or climate change adaptation
 - Broad regional and organizational diversity
 - Almost 80% work on climate change adaptation
 - 48% work on M&E
 - 47% work on natural resource management
 - 36% work on rural and agricultural development



Primary Interest in Adaptation M&E





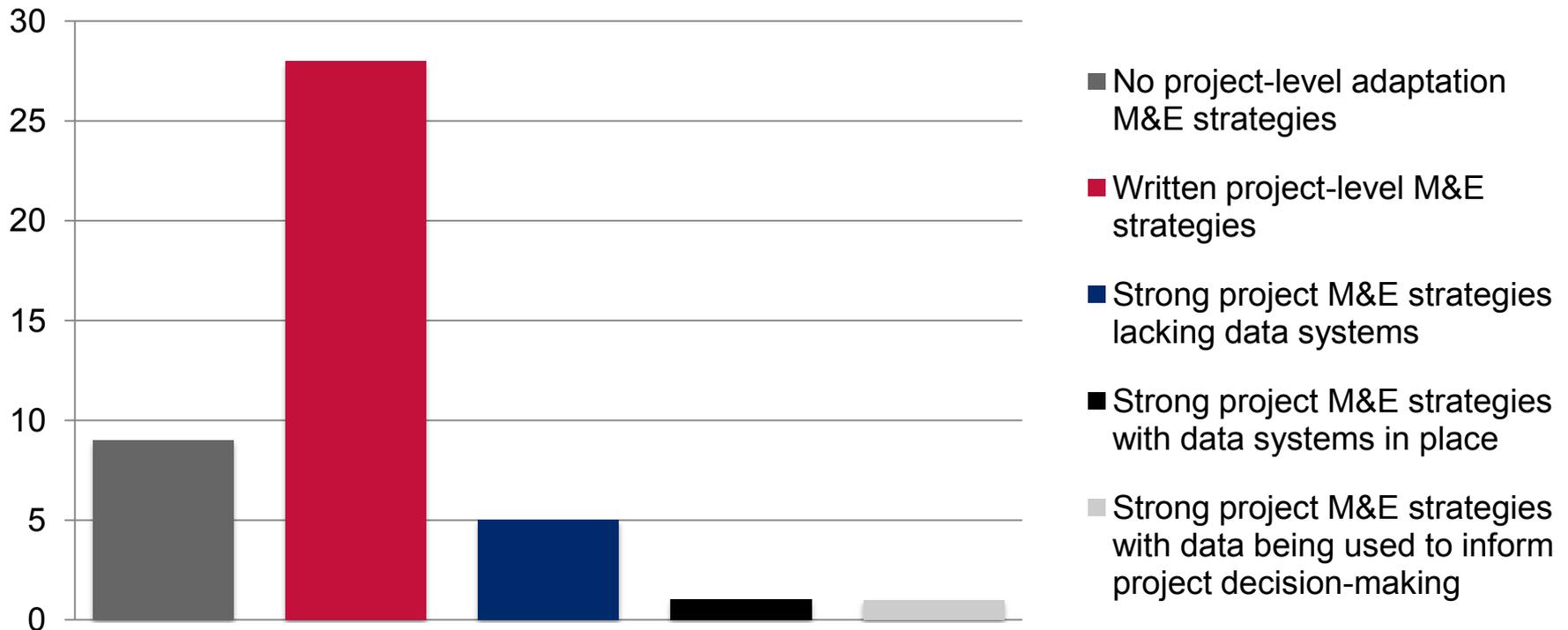
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Project-level Adaptation M&E

Survey Results



State of Adaptation M&E at Project-Level

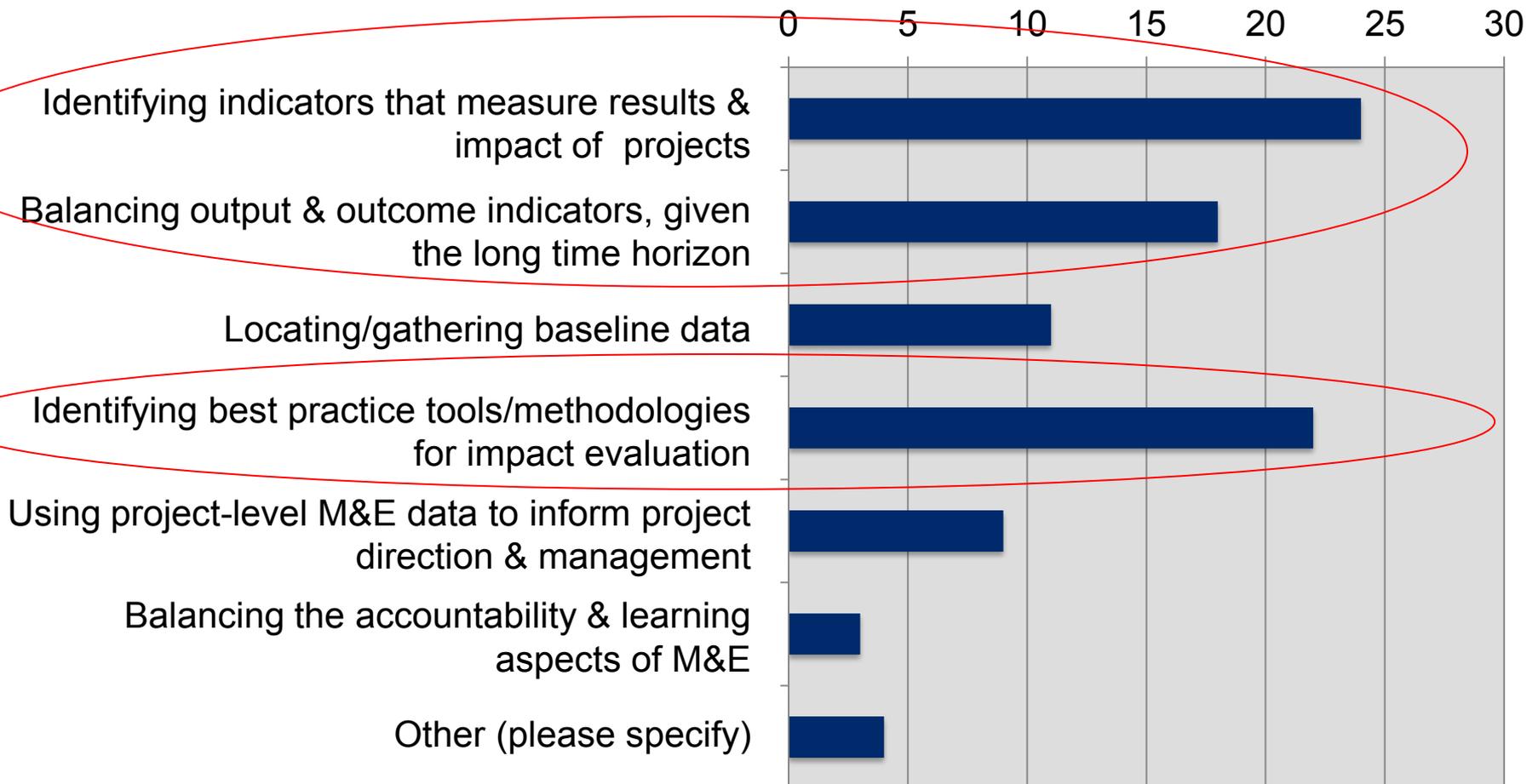


- There are no project-level adaptation M&E strategies. Projects collect M&E data as requested by project funders and M&E data are not used to inform project decision-making.
- There are written project-level M&E strategies. However, they need strengthening with regard to a theory of change and appropriate process and outcome indicators need to be identified. At times, strategies do not reflect project interventions.
- Projects have strong, well-written M&E strategies. However, projects have not yet put in place systems to collect and analyze the data outlined in these strategies.
- There are strong project M&E strategies. Data collection, analysis and dissemination activities are being put in place.
- There are strong project M&E strategies that reflect current project interventions; M&E data are collected and analyzed at regular intervals; M&E data are used to inform project decision-making.



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Next Steps for Project-Level Adaptation M&E





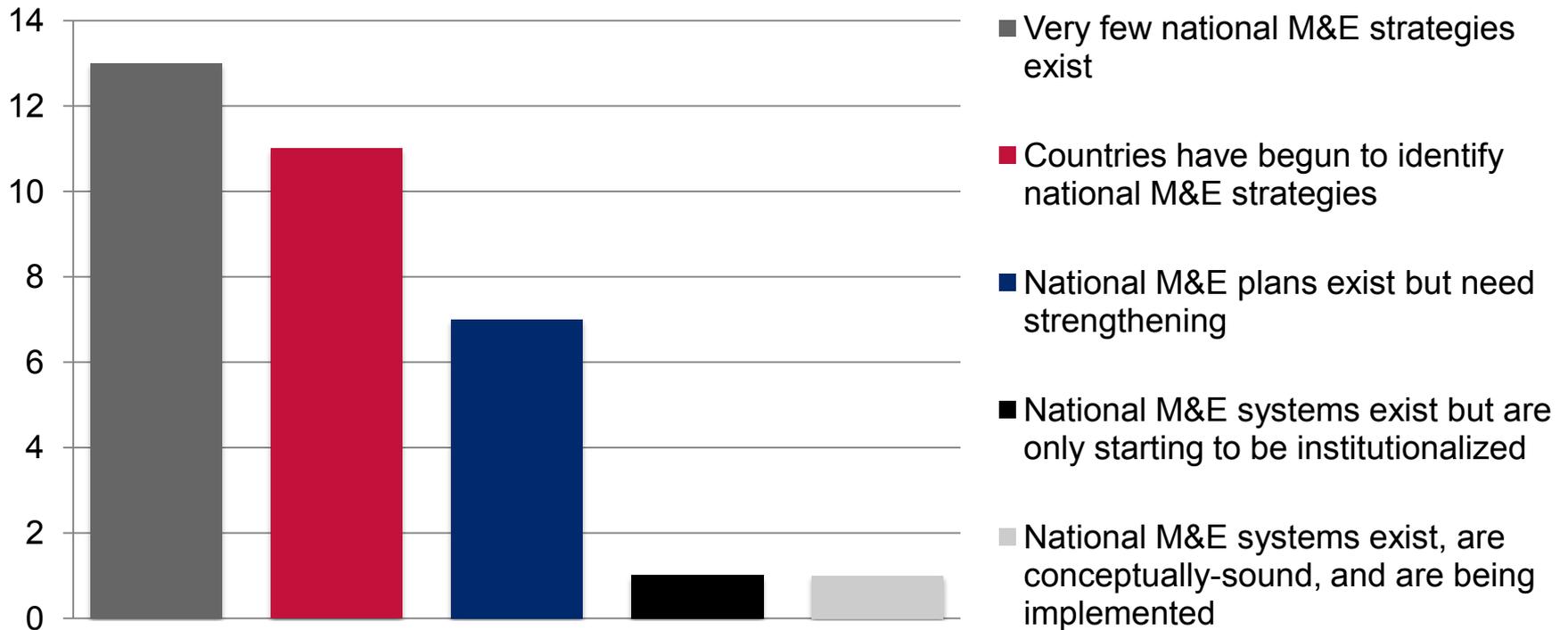
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National-Level Adaptation M&E

Survey Results



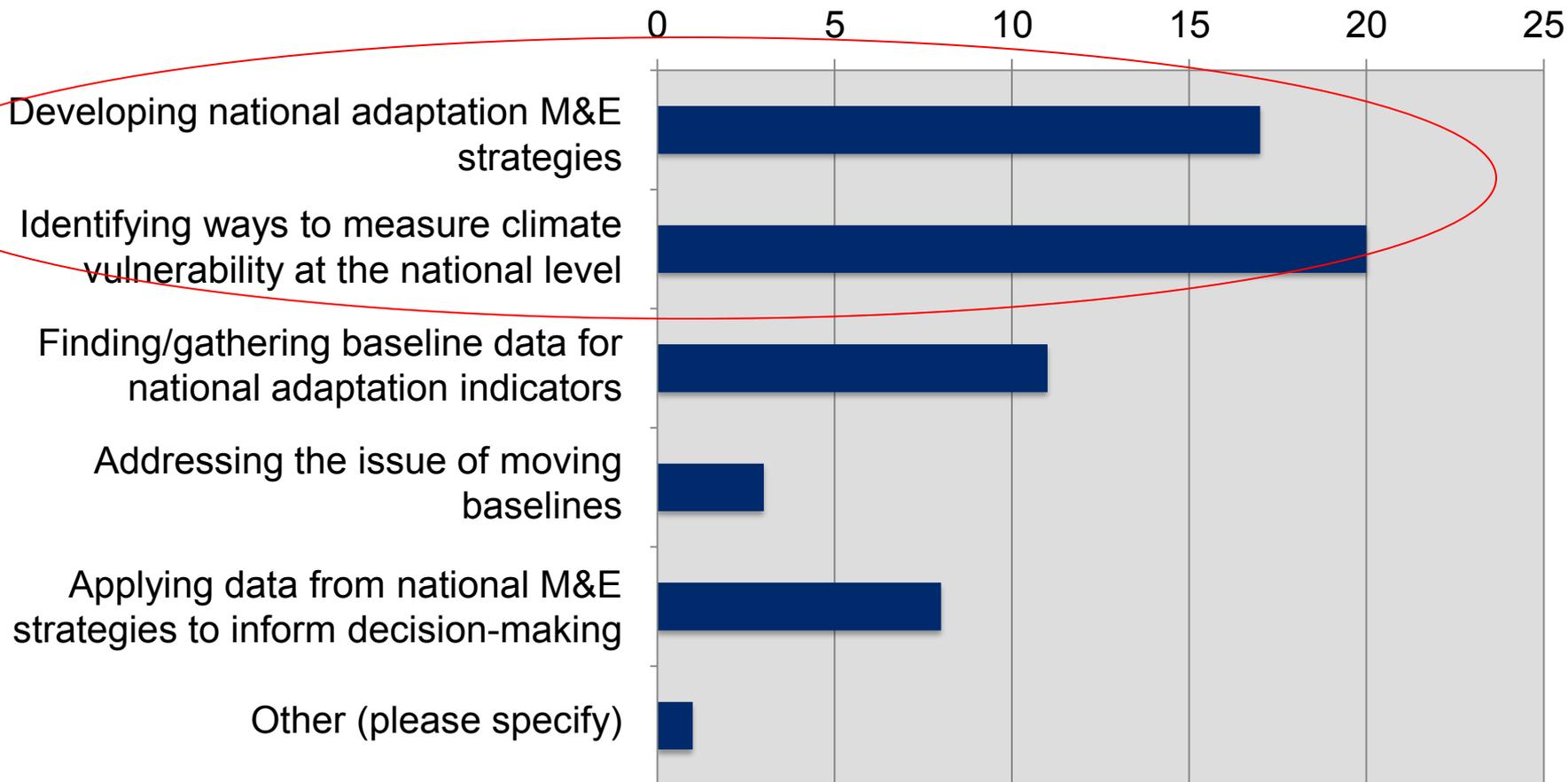
State of Adaptation M&E at National-Level



- There are very few national M&E strategies. M&E is largely undertaken on a project basis in response to requirements from international donors.
- Countries have begun to identify national M&E strategies for their national adaptation plans. These are under discussion.
- National M&E plans exist but need strengthening in terms of alignment with the national adaptation plans; and appropriate indicators need to be identified to measure the effectiveness of process, short-term outcome, long-term outcome, and impact.
- National adaptation M&E systems exist (either through existing sectoral M&E systems or as stand-alone) but are only starting to be institutionalized in all sectors and at all levels.
- National adaptation M&E systems exist, are conceptually-sound and are implemented throughout all sectors and at all levels. Data on process, outcome and impact level indicators are regularly reported and disseminated to key stakeholders.



Next Steps for National-Level Adaptation M&E





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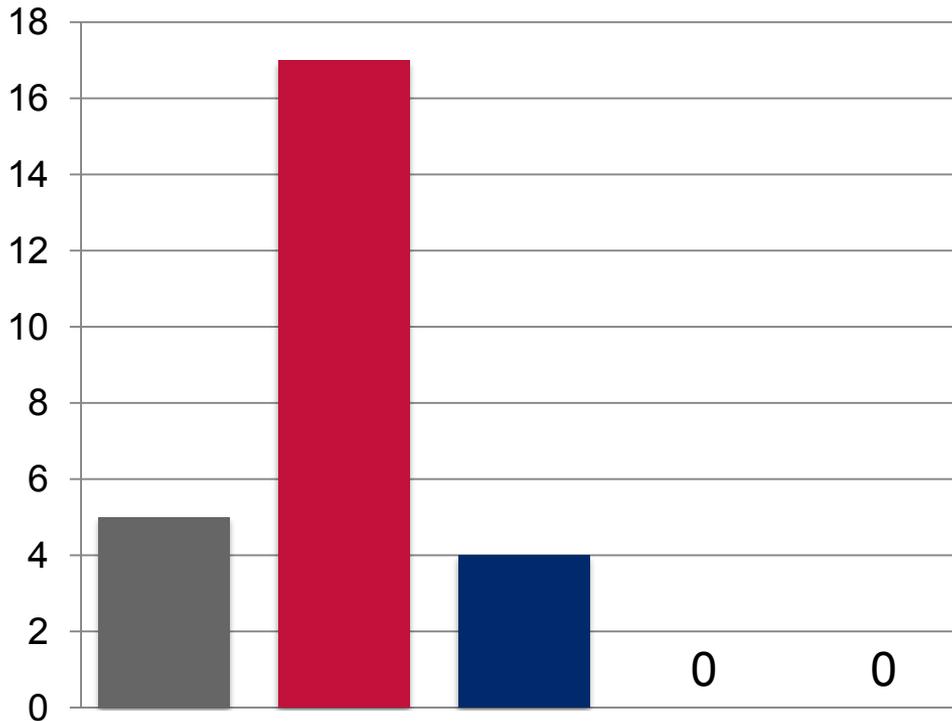
Portfolio-Level Adaptation M&E

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State of Adaptation M&E at Portfolio-Level

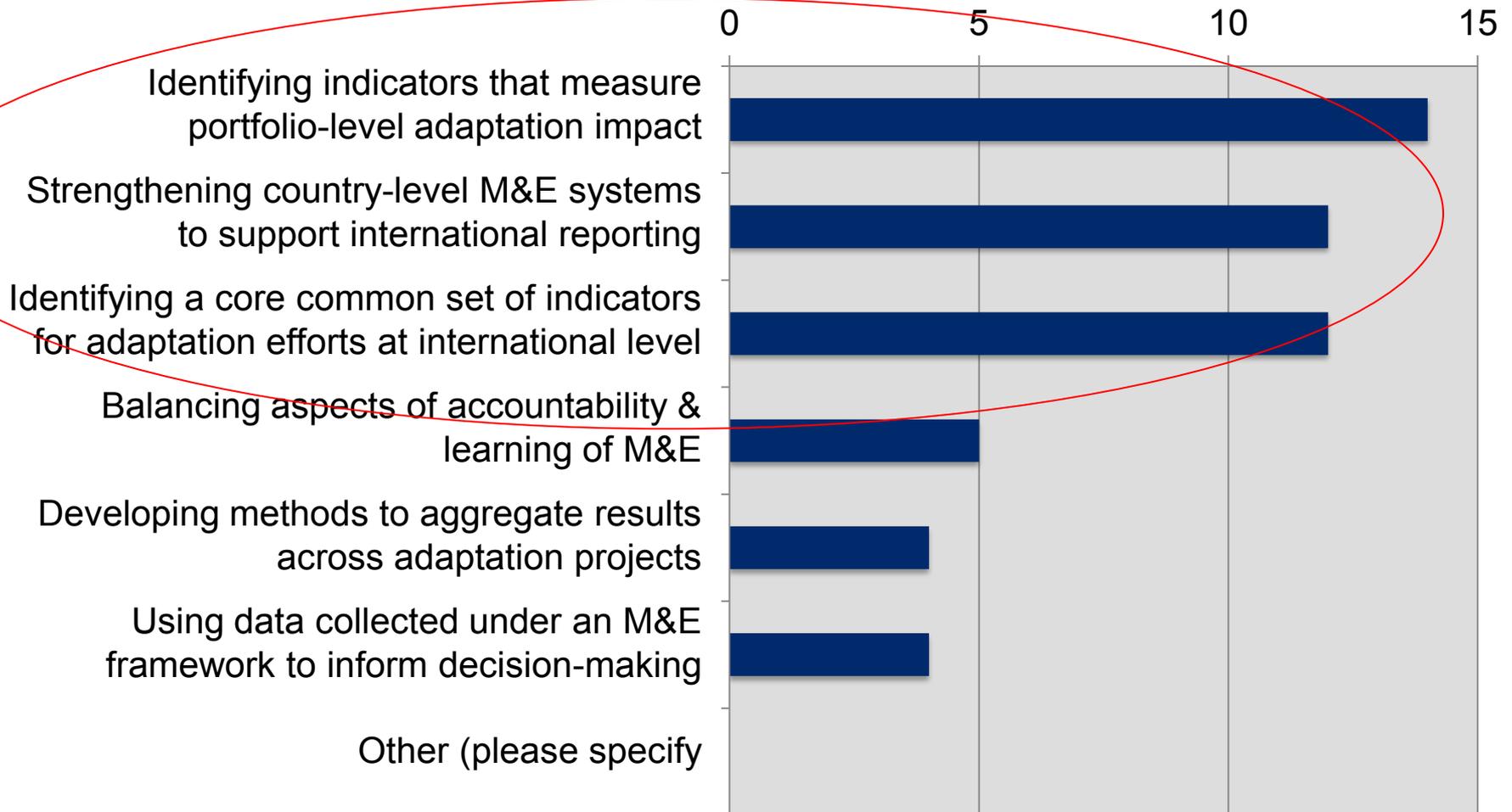


- Very few examples of portfolio-level results frameworks exist
- Portfolio-level results frameworks exist but require improvement
- Robust portfolio-level results frameworks exist but reporting systems are not yet in place
- Robust portfolio-level results frameworks & reporting are in place but support is required
- Robust portfolio-level results frameworks & reporting systems are in place and data are used for decision-making

- There are very few examples of portfolio-level results frameworks.
- Results frameworks for international portfolio-level adaptation efforts exist but require improvement. Robust results frameworks for international portfolio-level adaptation efforts exist but reporting systems are just being put in place.
- Robust results frameworks are fully in place and reporting systems are operational but funded organizations require support to strengthen data collection and data analysis.
- Robust results frameworks are fully in place and reporting systems are operational.
- High-quality data are routinely reported, disseminated and used for portfolio-level decision-making. Data collected are made available through public websites or other means of public dissemination.



Next Steps for Portfolio-Level Adaptation M&E





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Suggested Indicators

Enabling Factors

- Clear Objectives
- Financing: relative support from host country and partners; diversity/balance
- Awareness of climate risks among decision makers and general population

Processes

- Engagement of sectors, levels of government, civil society: community-level project ownership
- Adaptation actions / climate risk management: quality/effectiveness; number of actions implemented and number of participants; integration into sectoral project/program design; responsiveness to emerging threats
- Mainstreaming: incorporation of climate change in local planning documents or development processes; use of climate information by individuals
- Adaptation policy: long-term, sustainable, implemented; political good will
- Replicability: systematization of successful approaches; sharing of successful results in other locations



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Suggested Indicators (cont.)

Vulnerability

- Hazard: nature of the hazard (e.g., flood return period); data availability; climate data & information systems; early warning systems
- Exposure to climate hazards: e.g., number of people / value of assets
- Sensitivity
- Resilience or Adaptive Capacity both societal and ecological; implementation of adaptation actions; coordination and communication structures; policies/regs; institutional enhancements; budgetary allocations; technical capacity; capacity to measure performance

Outcome

- Climate vulnerability/risk assessment: existence; quality; number of people/sectors vulnerable; value at risk; vulnerability of marginal groups and women; use in infrastructure investments

Impact

- Disaster losses
- Human development indicators: income level/distribution; jobs; land productivity (e.g., NDVI); food supply (availability, affordability, safety, etc.); water supply (sustainability, equity); gender and child impacts; educational level; health status. Compare pre- and post-project



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A Few Illustrative Insights on Adaptation M&E

- *“Project-level adaptation is very specific and so will be the indicators.”*
- *“...More productive to measure resilience as opposed to adaptation.”*
- *“There is not a single repository that identifies typical indicators and approaches being used”*
- *“Indicators need be both quantitative and qualitative”*
- *“...how to measure vulnerability experienced as a result of climate change rather than historical climate variability?”*
- *“The indicators should be robust enough but also easy enough to be properly communicated among policy and decision making actors in the country.”*



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A Few Conclusions

- People are grappling with the most fundamental issues --- a reflection of the infancy of adaptation M&E
 - To what extent can we learn from the past / other M&E issues to make progress on adaptation M&E?
- Wide range of indicators were suggested, spanning: process, inputs, outputs, outcomes, and impacts
 - Some quantifiable, some not
 - Is it useful to develop a common set of indicators?
- Many conceptual challenges exist, often related to the unique challenges presented by climate change (scale, complexity, uncertainty, etc.)



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Vielen Dank!

(see subsequent slides for more survey details)



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Background

- Purpose of the survey:
 - Help to assess the state of monitoring and evaluation concerning climate change adaptation
 - Inform the international development community of key challenges and priorities that can help to spur advancements in the field
 - Serve as an input to this workshop to spark discussion and understand needs of attendees
- Who was asked to participate in the survey:
 - Experts in international development, M&E, and/or climate change adaptation



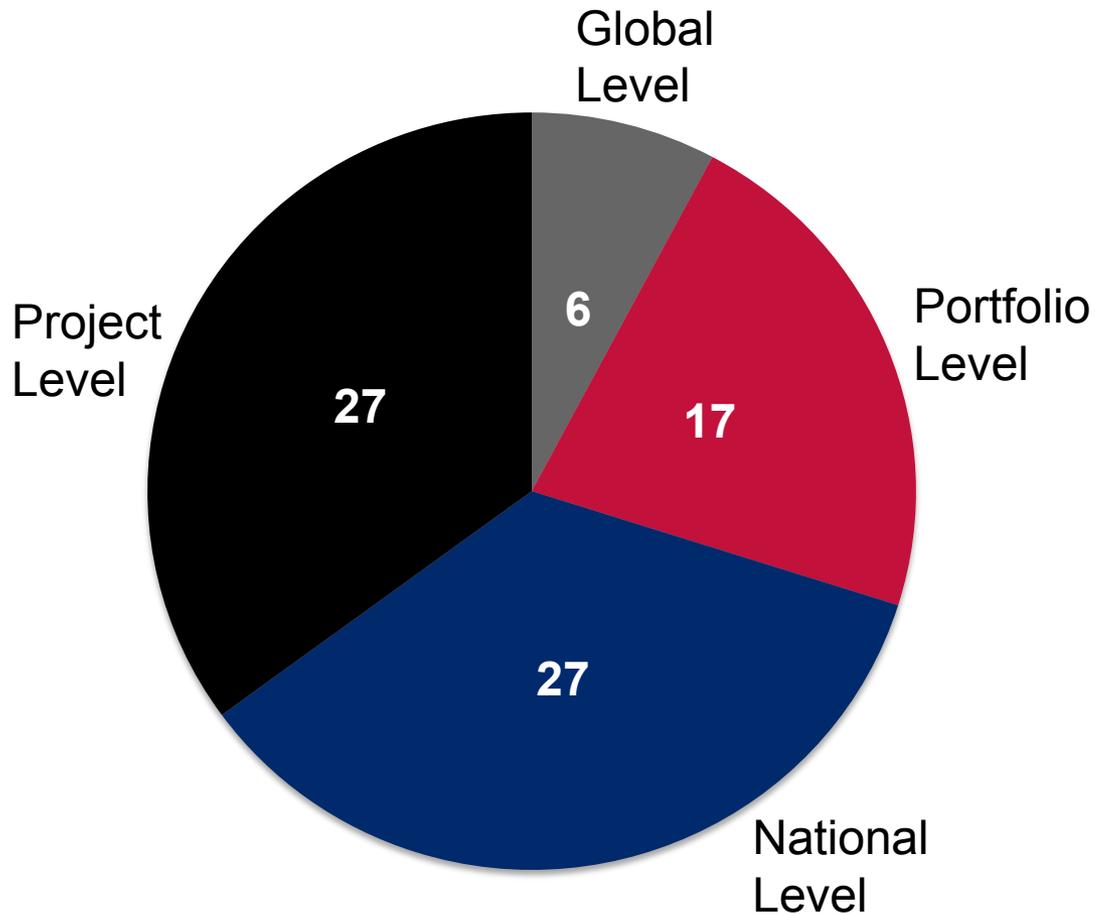
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Respondent Information

- 77 respondents
 - ~ 1/4 work for a bilateral or multilateral donor organization
 - 1/4 work for a donor government agency, and
 - others work for academic institutions, private sector, or NGOs
- Respondents primarily worked in in Asia/Near East & Sub-Saharan Africa (~50%)
- Almost 80% of respondents worked in climate change adaptation with a large number working in natural resource management (47%), rural and agricultural development (36%), and M&E (~48%)



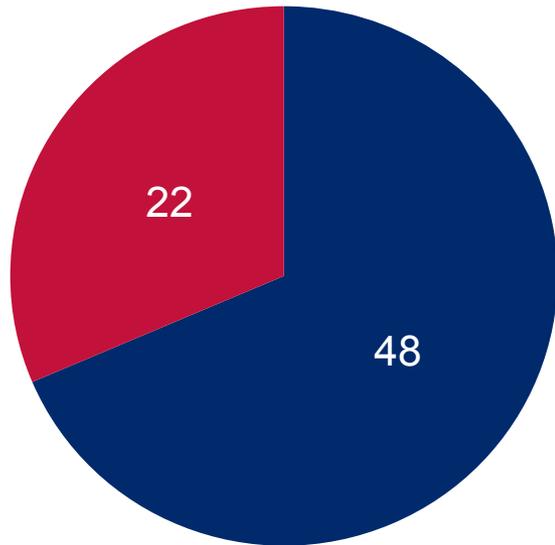
Primary Interest in Adaptation M&E



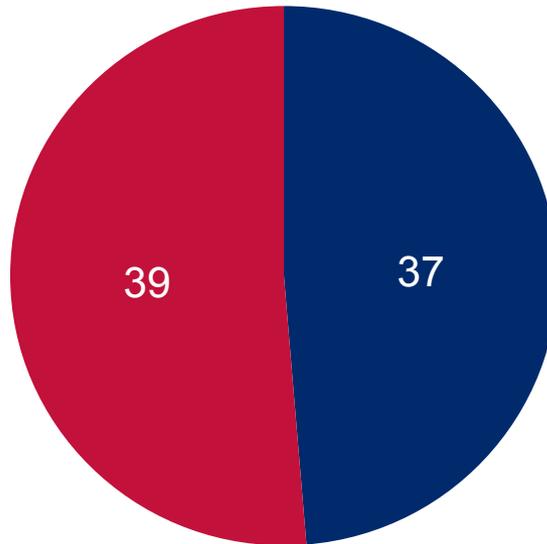


Level of M&E Involvement

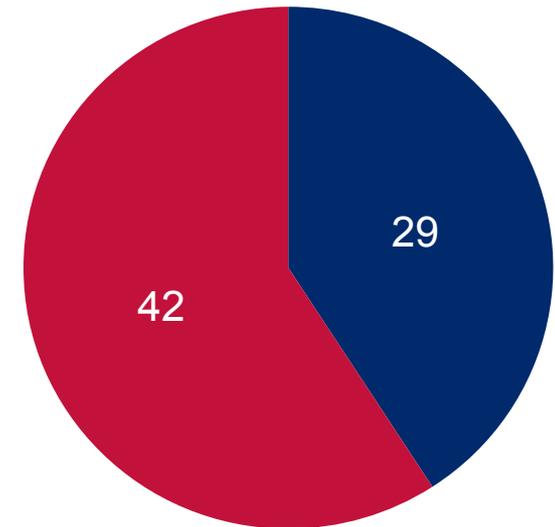
Adaptation Projects



National Adaptation Plans



International Portfolio-Level Adaptation Efforts



■ Yes ■ No



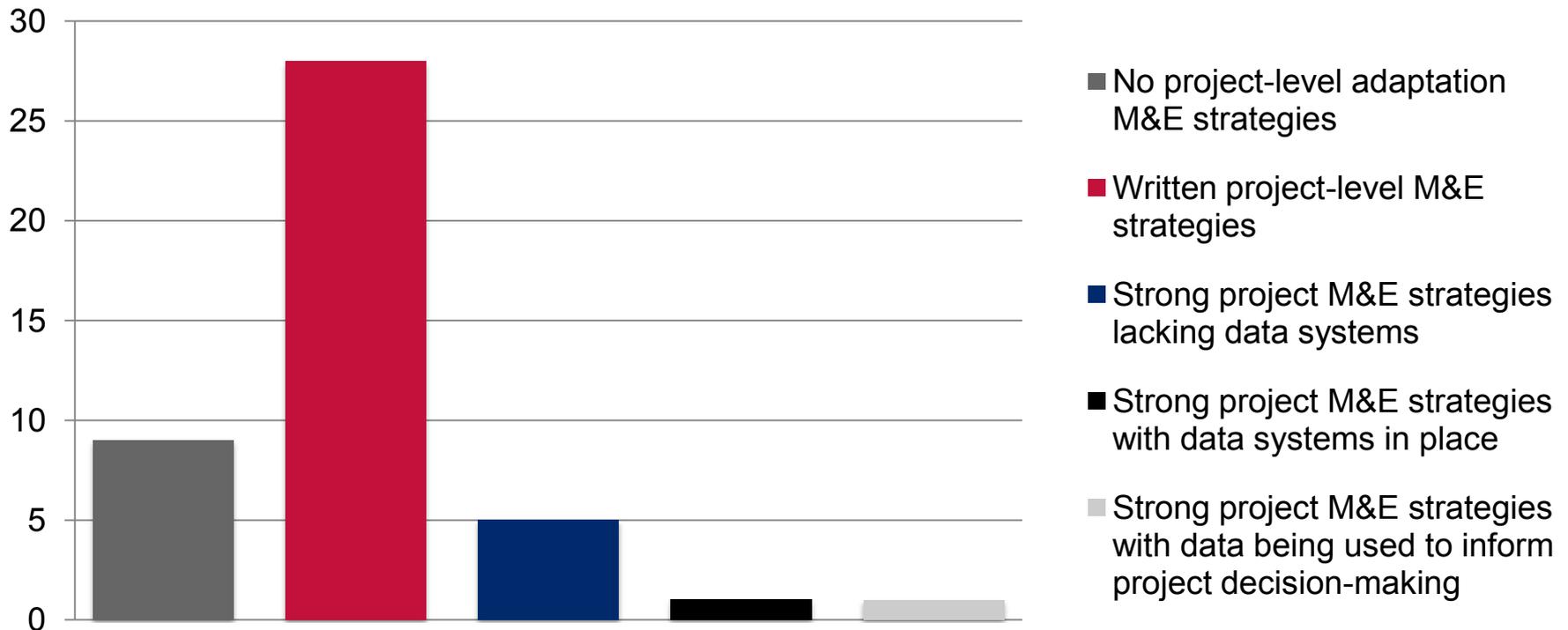
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Project-level Adaptation M&E

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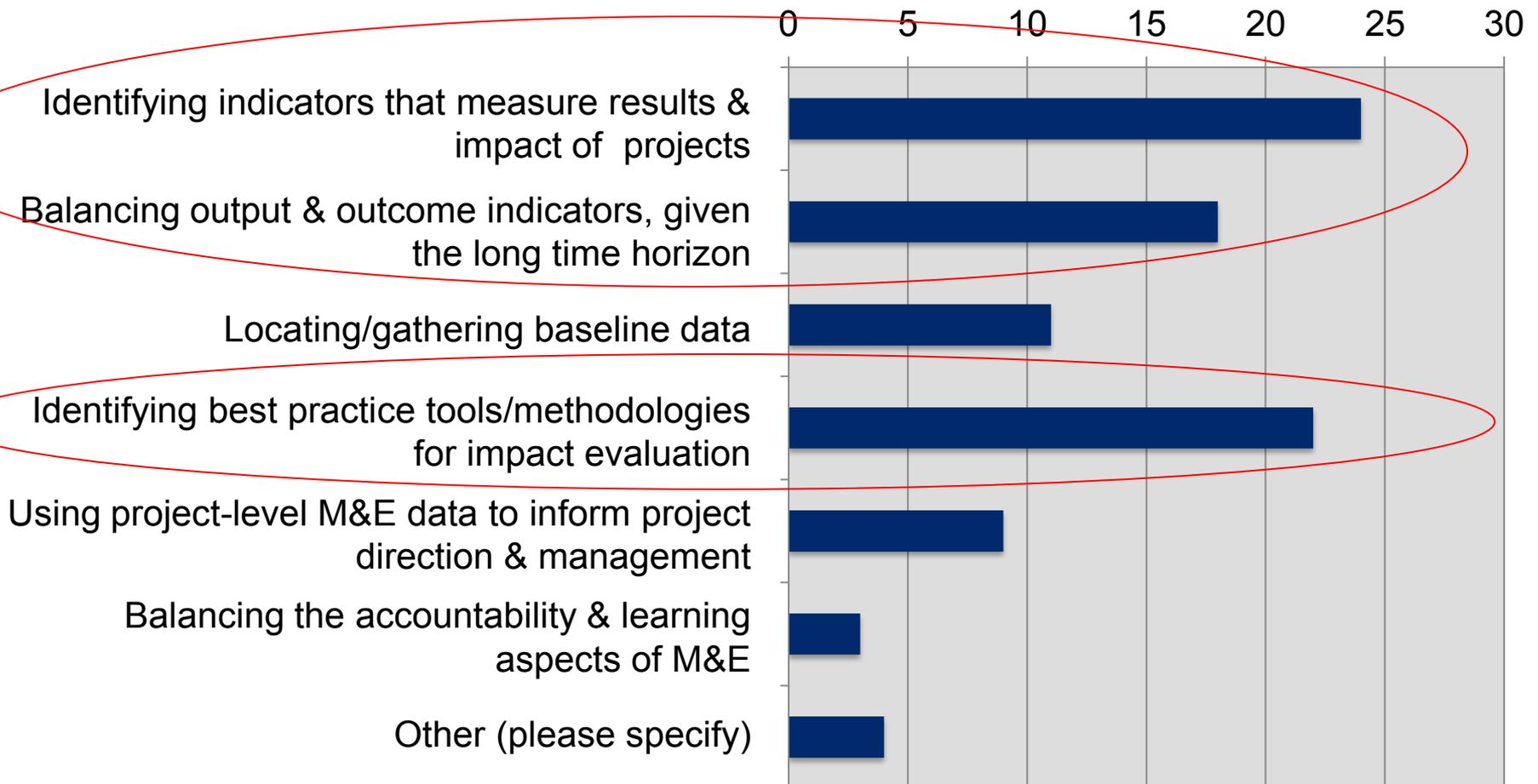


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Next Steps for Project-Level Adaptation M&E





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Suggested Indicators

- Hazard: availability and management of data; nature of the hazard
- Exposure to climate hazards: number of people / value of assets
- Sensitivity
- Resilience or Adaptive Capacity: societal and ecological, e.g., via uptake of adaptation actions; coordination and communication structures; policies/regs
- Vulnerability Assessment
- Engagement: community-level project ownership / decision maker engagement / participation level
- Clear Objectives
- Coping Strategies: identification, implementation, testing; account for gender
- Mainstreamed Planning: incorporation of climate change in local planning documents or development processes
- Welfare: GDP, individual poverty/wealth, equity, green jobs, other indicators of well-being



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Other Insights/Questions on M&E of Project-Level Adaptation

- *“Project-level adaptation is very specific and so will be the indicators.”*
- *“...More productive to measure resilience as opposed to adaptation.”*
- *“The integration in national monitoring systems must be foreseen in project or community level schemes!”*
- *“There is not a single repository which identifies typical indicators and approaches being used by different levels of government.”*
- *“Use of models for M&E of adaptation.”*
- *“Participatory process & GIS application”*



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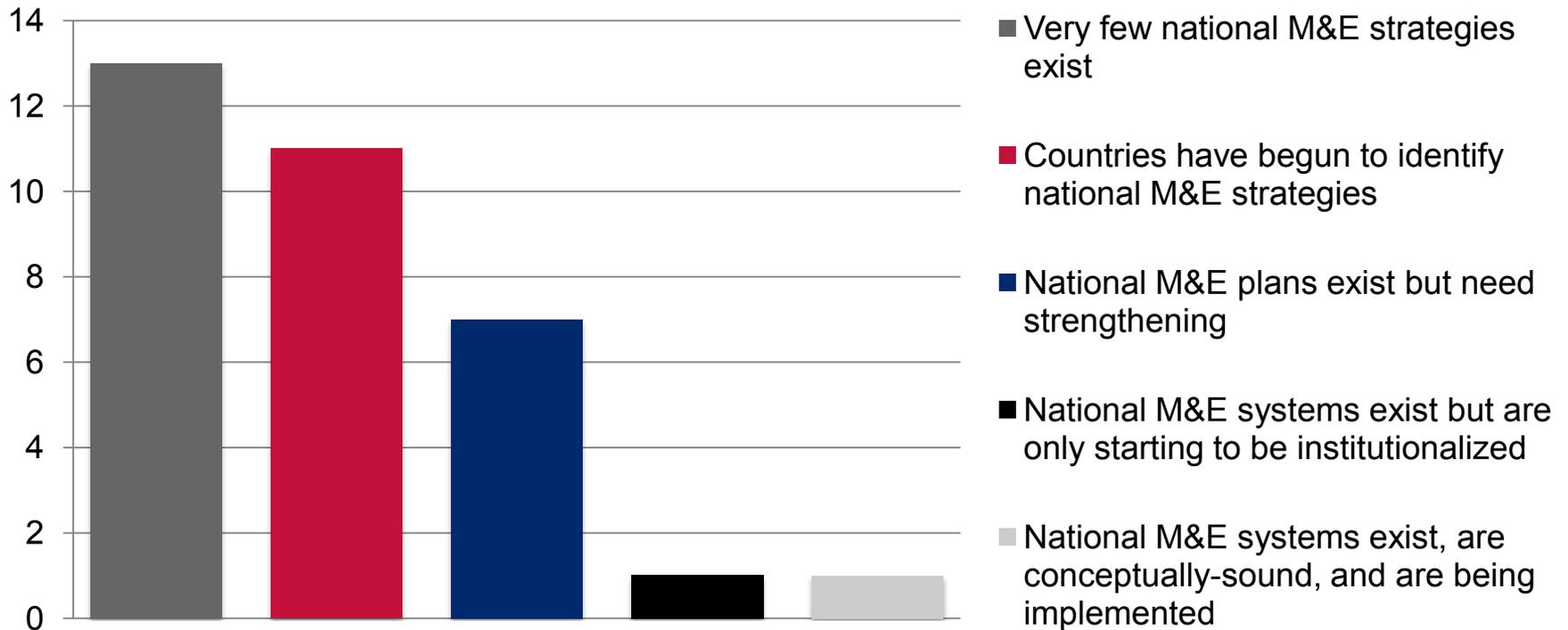
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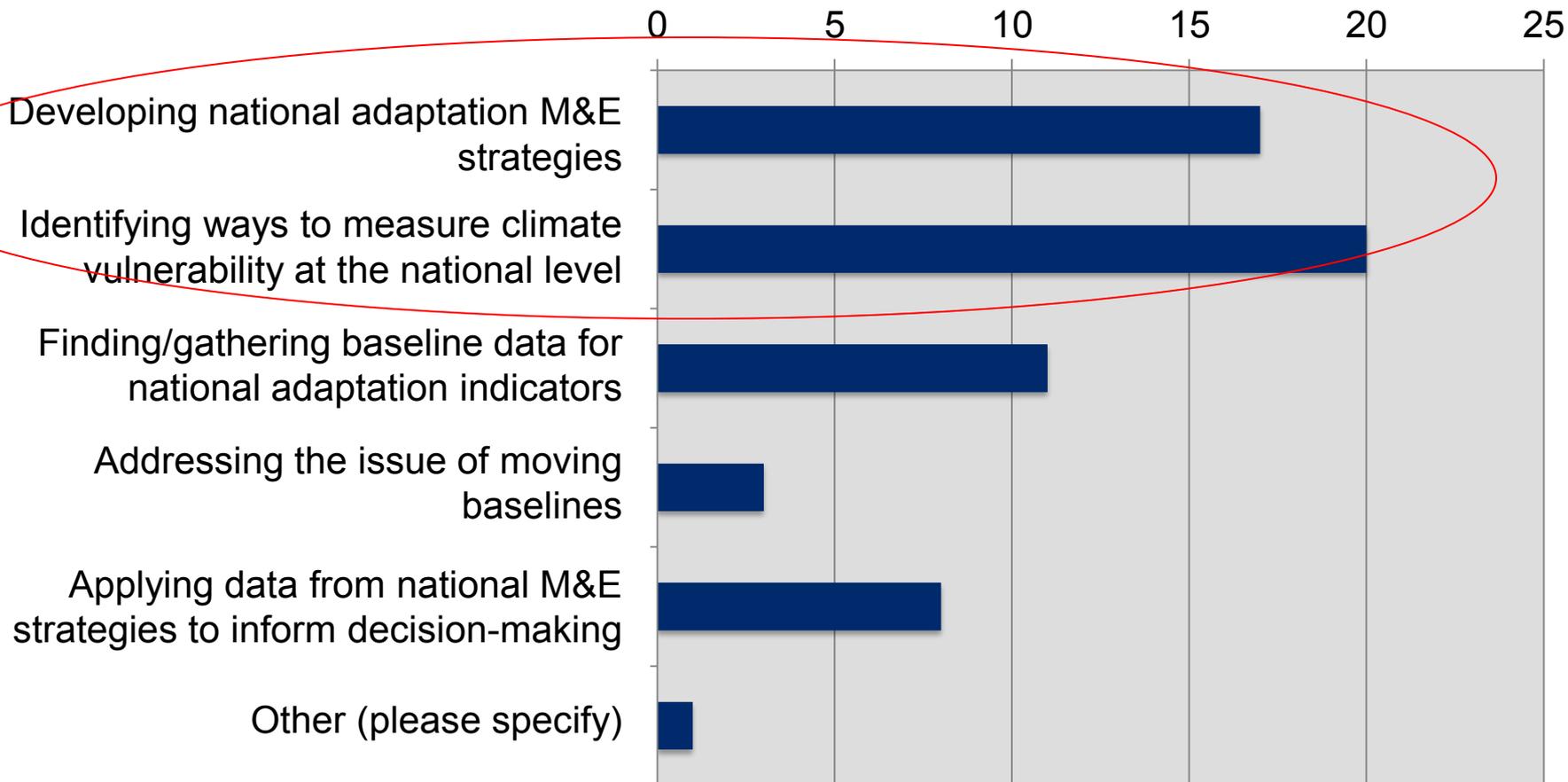
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Next Steps for National-Level Adaptation M&E





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Suggested Indicators

- Awareness of climate risks among decision makers and general population
- Hazard: status (e.g., flood return period); early warning systems; climate data & info systems (status, quality)
- Sensitivity
- Adaptive capacity: knowledge base; institutional enhancements; support groups; budgetary allocations (national/intl); technical capacity; ecosystems; process indicators
- Involvement of sectors, levels of government, local communities, civil society and other stakeholders in adaptation processes
- Spatial distribution of climate assessment, adaptation and indicators, including national to local scale and urban to rural
- Climate vulnerability/risk assessment: existence; quality; number of people/sectors vulnerable; value at risk; vulnerability of marginal groups and women; use in infrastructure investments



Suggested Indicators (cont.)

- Adaptation actions / climate risk management: quality/effectiveness; number of actions and participants; integration into sectoral project/program design; responsiveness to emerging threats
- Adaptation policy: long-term, sustainable, implemented; political good will
- Disaster losses
- Human development indicators: indicate outcomes including income level/distribution; land productivity (e.g., NDVI); food supply (availability, affordability, safety, etc.); water supply (sustainability, equity); gender equity; educational level; health status
- Evaluation: capacity of institutions to measure performance

(See headline indicators in M&E framework of German adaptation strategy)



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Other Insights/Questions on M&E of National-Level Adaptation

- *“national and regional standards of adaptation”*
- *“...how to measure the level of vulnerability that is being/will be experienced as a result of *increased climate variability and climate change* rather than historical climate variability.”*
- *“The indicators should be robust enough but also easy enough to be properly communicated among policy and decision making actors in the country.”*
- *“M&E can not be made dependent on a quantitative baseline...Indicators need be both quantitative and qualitative”*



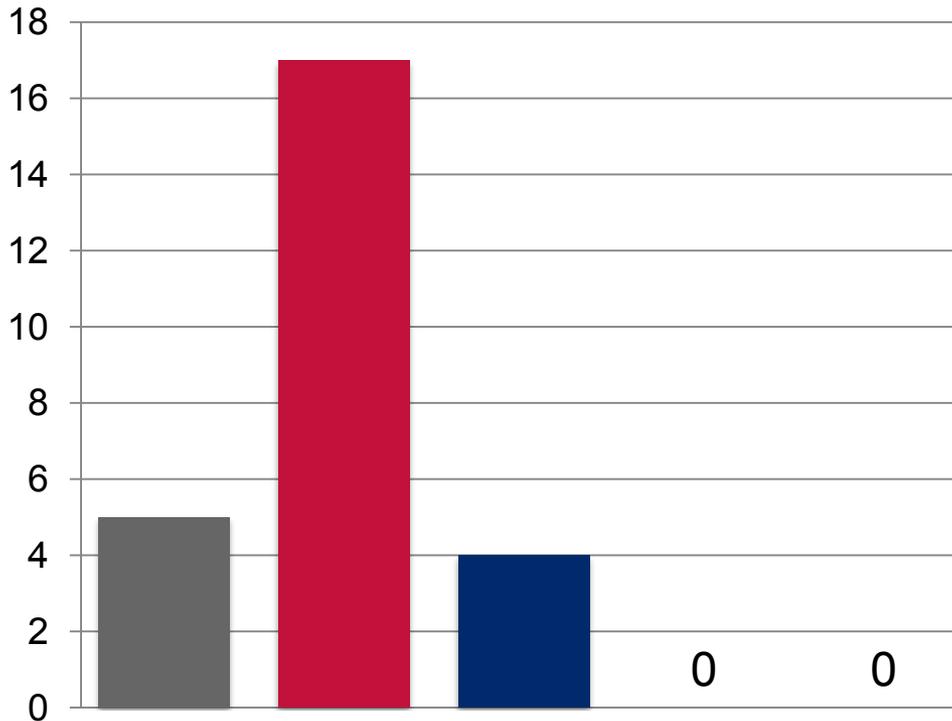
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Portfolio-Level Adaptation M&E

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State of Adaptation M&E at Portfolio-Level



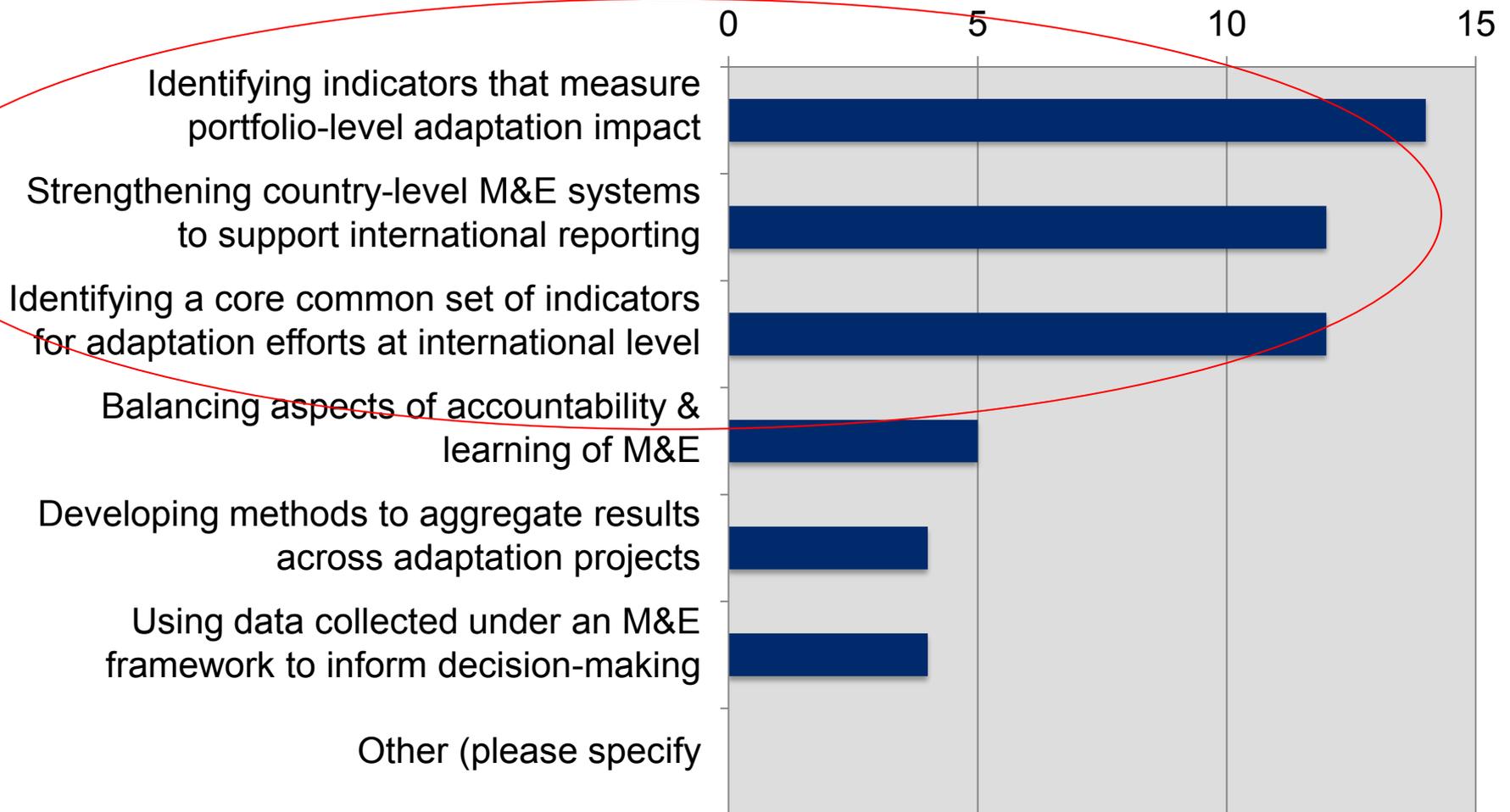
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Next Steps for Portfolio-Level Adaptation M&E





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Suggested Indicators

- Financing: relative support from host country and partners; diversity/balance
- Awareness
- Hazard: early warning system; climate information system
- Exposure
- Adaptive capacity: national-to-local; society and ecosystems; technology/technical capacity; diversity of income sources
- Participation: involvement of local experts/stakeholders; nr of individuals and breadth/diversity of regions implementing climate-resilient practices
- Mainstreaming/Use: integration of climate into policies/plans; project design; use of climate information by individuals
- Replicability: systematization of successful approaches; sharing of successful results in other locations
- Welfare: food security; female education; socio-econ status; infrastructure impacts; compare baseline info to post-project; relevance to MDGs
- Equity: impacts on women, children ,and young



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Other Insights/Questions on M&E of Portfolio-Level Adaptation

- *“Sustainability of the process after withdrawal of donor support”*
- *“using M&E to deal with or better manage uncertainties”*
- *“What it means to develop an adaptive capacity index for use at a portfolio scale....”*
- *“Examples of international portfolio-level adaptation results framework will be helpful for further structuring M&E”*



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A Few Conclusions

- People are grappling with the most fundamental issues --- a reflection of the infancy of adaptation M&E
- Wide range of indicators were suggested, spanning: process, inputs, outputs, outcomes, and impacts
- Numerous useful indicators suggested: some quantifiable, some not
- Many conceptual challenges exist, often related to the unique challenges presented by climate change (scale, complexity, uncertainty, etc.)



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USAID Climate Change M&E Efforts

- Development of adaptation M&E approaches within USAID are a microcosm of the global need
 - Adaptation activity is accelerating rapidly within USAID
 - e.g., CCRD, which is providing a framework for climate-resilient development across USAID
 - Sectoral-, regional-, national-, project-level approaches needed
- USAID Climate Change and Development Strategy
 - Released January 2012; available on-line
 - Strategic objective to promote "Climate-resilient, low-emission development" in partner developing countries
 - Calls for implementation of an evaluation and learning plan that is consistent with new USAID evaluation policy
- New USAID project focused on M&E



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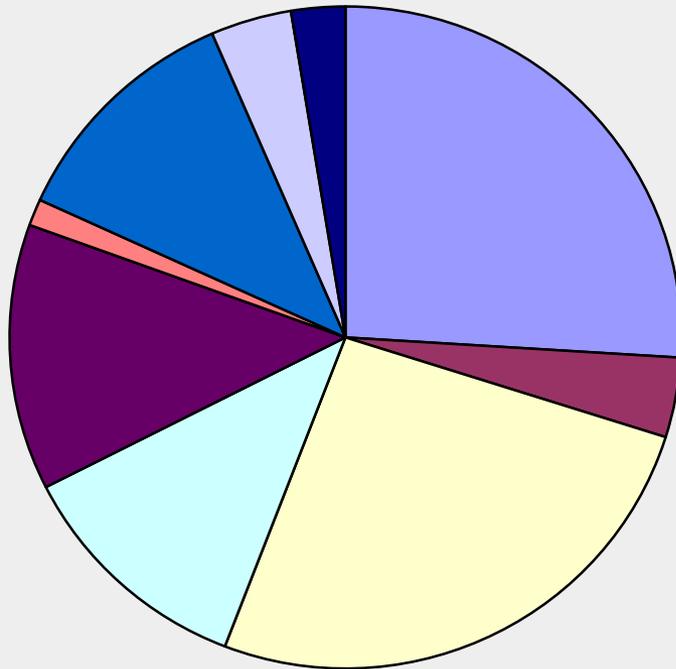
Demographic Information of Respondents

Survey Results



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Who respondents work for

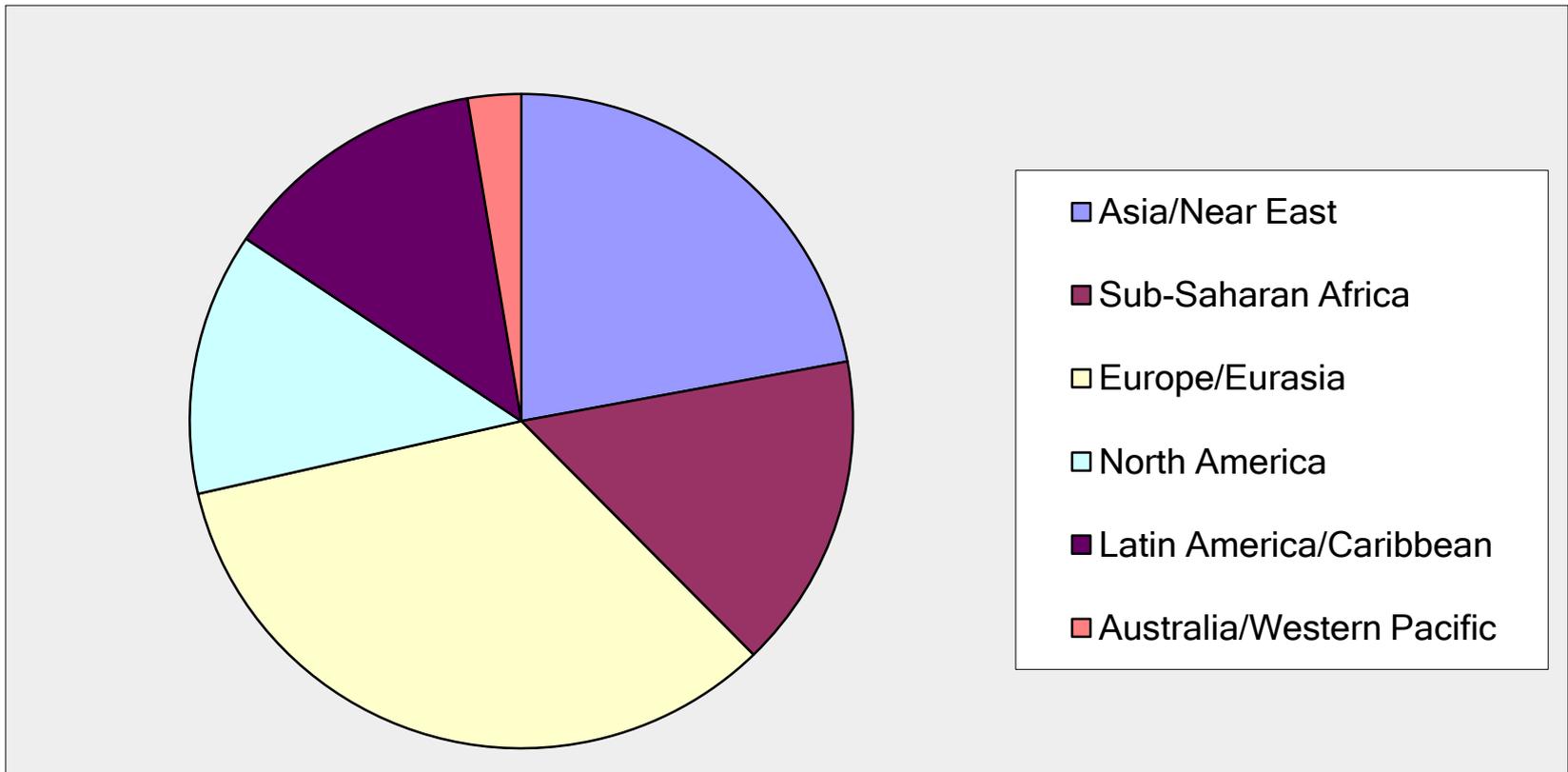


- Bilateral or multilateral donor organization
- International technical agency (e.g. UNFCCC, OECD)
- Government agency - other than bilateral donor organizations
- Academic institution
- Private sector - Consulting firm
- Private sector - Industry
- Other NGO
- Self-employed
- Other (please specify)



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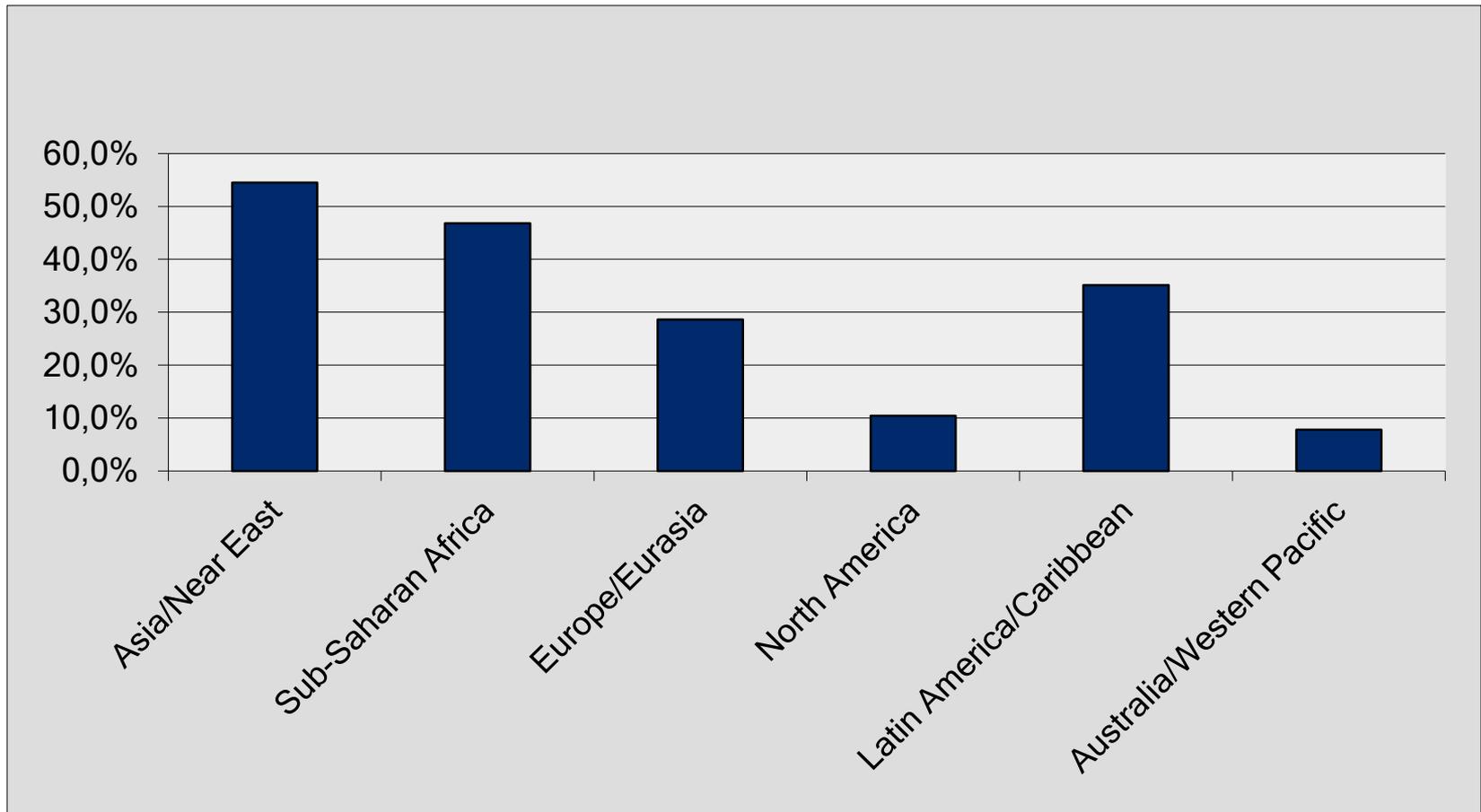
Regions of the world respondents are primarily located





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Regions of the world respondents work





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Sectors respondents work in

