GCCA+
THE GLOBAL CLIMATE CHANGE ALLIANCE PLUS INITIATIVE

Funded by the European Union

QUICK GUIDE

MONITORING AND EVALUATION OF CLIMATE ADAPTATION ACTION

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Niger

Well rehabilitation in Dogonkiria NIger
LoCAL-UNCDF photo Nasser Alqatami 2016

ABOUT THIS QUICK GUIDE

This Quick Guide is a fast read to improve the design and implementation of actions that have climate change adaptation as a main or significant objective, based on the experience of 15 EU GCCA/GCCA+ projects.

Strong monitoring & evaluation (M&E) systems support our understanding of what works and what could be improved in the field of adaptation, and facilitate the replication and scaling up of successful approaches to adaptation, while averting the risk of "maladaptation".

Since 2007, the Global Climate Change Alliance (GCCA), now Global Climate Change Alliance Plus (GCCA+), is a European Union (EU) flagship initiative supporting climate action in the most vulnerable countries.

An extended version of this Quick Guide (called the Practical Guide for Monitoring and Evaluation of adaptation action) illustrates in detail, with practical steps and examples, the key findings from the review of the 15 GCCA/GGCA+ national and regional projects. The methodology used is inspired by a conceptual framework for the monitoring and evaluation of adaptation based on a review of best international practices.

KEY PRINCIPLES

Key principles in supporting adaptation include:

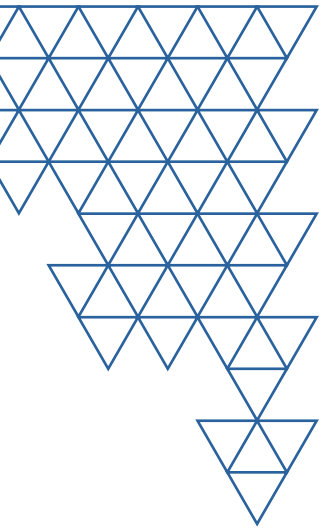
Prioritising and designing adaptation actions using near future and long-term projections of climate change and related hazards. This will help partner countries identify and support measures expected to deliver adaptation benefits not only in the short term, but also in the longer term, notably in terms of temperature increases, rainfall patterns and sea level rise.

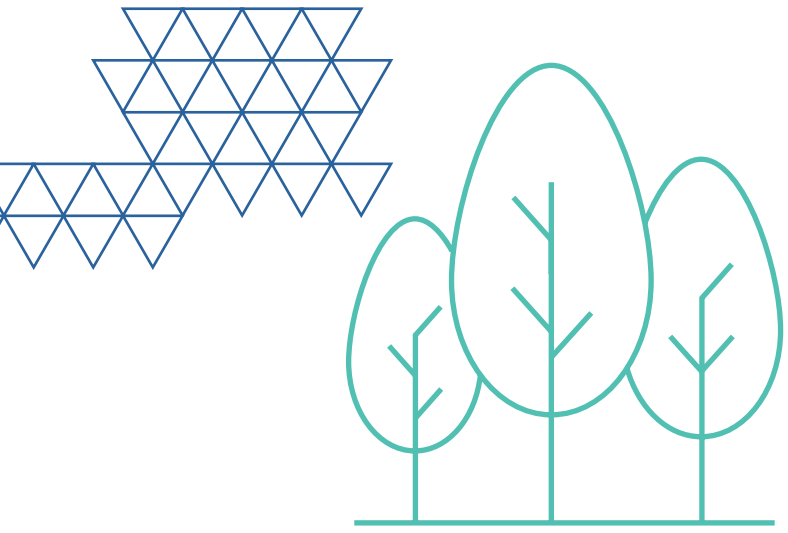
Investigating the social impacts of climate change and response measures (adaptation and mitigation). Notably, their impacts on livelihoods, on already vulnerable groups and on income distribution. This will help identify and support adaptation measures that benefit the most vulnerable groups, and have a better chance of preventing or reversing trends towards impoverishment and growing inequality.

Conducting cost-benefit analysis of strategic adaptation options, including over long-time horizons and integrating key environmental and social dimensions, to inform the prioritisation of adaptation strategies and measures.

Preparing well-informed strategies for low-emission, climate-resilient development. This will help ensure that shorter-term national adaptation plans and the like (e.g. the adaptation components of NDCs) are designed and implemented in such a way that they contribute to the longer-term transformational adaptation pathways that need to be anticipated and prepared right now.

Avoiding maladaptation. Notably, when evaluating adaptation actions, identify and document cases of maladaptation alongside good adaptation practices. Without such information, ineffective, inequitable and/or "short-termist" adaptation measures will continue to be implemented for longer than needed, resulting at best in a waste of resources and at worst in undesirable outcomes.

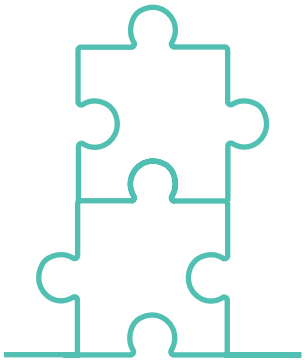




GCCA+ experience also highlights the clear added value of:

- Involvement of a wide range of national (including local) stakeholders in adaptation M&E structures & processes
- Setting up of a comprehensive M&E system for adaptation, endowed with adequate resources
- Dedicated M&E system supporting harmonised approaches & some consolidation for field projects & activities
- Frequent monitoring (including in the field) & reporting including on outcomes & external influencing factors

Ethiopia
Stone damm in Taseda Hamed
GCCA photo Gonzalo Gujardo 2018



PRACTICAL STEPS FOR EU-FUNDED PROJECTS

Practical steps towards robust monitoring and evaluation of climate adaptation in EU-funded projects can be organised in few essential building blocks:

A **Adaptation theory of change (TOC) and intervention logic**

B **Selection and specification of adaptation indicators**

C **Structures, processes, systems and resources for M&E of adaptation**

Additional cross-cutting approaches to enhance the quality and evaluability of adaptation action are:

D **Cross-cutting: Enhancing the quality and evaluability of adaptation action**

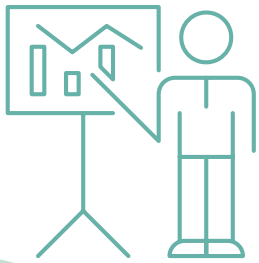
STEPS RELATED TO THE EU INTERVENTION CYCLE

These steps can be related to the EU intervention cycle: programming, design, implementation, evaluation (financing is not included as it has no particular relevance here).
Several steps initiated at the design stage are likely to require completion or fine-tuning during implementation, in particular during the inception phase and the first months of implementation.

ROBUST M&E OF ADAPTATION AT PROJECT LEVEL

Programming

Review and integrate identified priorities, succeful approaches and lessons.

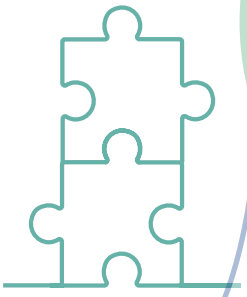


Evaluation

Mid-term, final, ex-post

Review adaptation results based on intended trajectory and targets, in light of external factors and considering results orientation and quality criteria

Formalise learning from experience



Design

A

Adaptation theory of change (ToC) and intervention logic

A1: Develop a good understanding of climate hazards, vulnerabilities and risks

A2: Develop a strong adaptation trajectory

A3: Identify the key external factors likely to influence adaptation pathways

A4: Finalise the ToC and translate it into a well-specified intervention logic

B

Selection and specification of adaptation indicators

B1: Identify an initial set of specific and relevant adaptation indicators

B2: Check the measurability of envisaged adaptation indicators prior to finalising indicator selection

B3: Establish adaptation baselines and targets

D

Cross-cutting: Enhancing the quality and evaluability of adaptation action

D1: Consider approaches for enhancing results orientation

D2: Consider approaches for integrating adaptation and equity principles

D3: Reflect these approaches in the logframe and other project design elements

D4: Report on the implementation of approaches for enhancing the results orientation and quality of adaptation action

Implementation

Inception phase and onwards

C

Structures, processes, systems and resources for the M&E of adaptation

C1: Establish clear structures and processes for the M&E of adaptation

C2: Set up a comprehensive, well-documented M&E system for adaptation

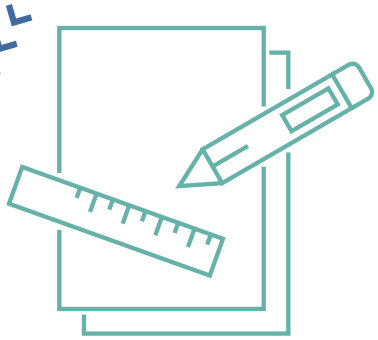
C3: Make specific arrangements for the M&E of field activities

C4: Allocate adequate resources, fine-tune processes and prepare a M&E workplan

C5: Implement the M&E workplan and keep the M&E system up-to-date

C6: Regularly report on adaptation results, in light of the evolution of external factors

Complete/fine-tune steps A and B



Bangladesh
Coastal protection
© GCCA+ photo Pierre Failler

A

ADAPTATION THEORY OF CHANGE (TOC) AND INTERVENTION LOGIC

A1 *Develop a good understanding of climate-related hazards, vulnerabilities and risks*

This understanding should ideally encompass both current and anticipated hazards, vulnerabilities and risks in the project's sector and geographical area.

This information should be used to develop the rationale for engaging in adaptation action and identify priorities for adaptation action, preferably aligned with national priorities as identified in key policy documents.

A2 *Develop a strong adaptation trajectory, based on clear and logical pathways*

The adaptation trajectory underpinning the action, which will constitute the backbone of its "theory of change", should be based on logical pathways (i.e. pathways reflecting valid causal relationships) from adaptation activities to outputs, adaptation outputs to outcomes, adaptation outcomes to impacts.

A3 *Identify the key external factors likely to influence adaptation pathways*

These external factors, typically of a politico-institutional, socio-economic or environmental nature, are factors outside the control of the project that may influence the achievement of adaptation results at the various levels of the intervention logic (i.e. at output, outcome and impact level), in a positive or negative manner.

A4 *Finalise the theory of change and translate it into a well-specified intervention logic*

The integration of external influencing factors in the project's theory of change may lead to adjusting the proposed adaptation pathways (e.g. by adding or adjusting some activities to improve the ability to manage the associated risks and opportunities).

India
Woman fetching water in Bihar
© photo Geraldo Carreiro

B

SELECTION AND SPECIFICATION OF ADAPTATION INDICATORS

B Selection and specification of adaptation indicators

B1 *Identify an initial set of specific and relevant adaptation indicators*

Adaptation projects (or the adaptation-relevant components of interventions) typically rely on a mix of quantitative and qualitative indicators, which considered together should provide a reasonably comprehensive picture of the intervention's key achievements. They also contribute to further specifying what the project intends to achieve.

B2 *Check realism of envisaged adaptation indicators prior to finalising indicator selection*

The final indicators must be fit for purpose, including measurable (based reliable and timely data sources, involving acceptable data collection costs and processing effort).

B3 *Establish adaptation baselines and targets*

Baselines are essential for determining the level of achievement of adaptation action. They are also important for setting meaningful targets, notably when change is measured in proportional terms (e.g. "% increase / decrease in...").

Targets are important for guiding and stimulating adaptation action, and provide a benchmark against which to evaluate performance. They may also contribute to specifying or "operationalising" indicators, and the way they are defined can enhance their measurability.

C

STRUCTURES, PROCESSES, SYSTEMS AND RESOURCES FOR M&E OF ADAPTATION

C1 *Establish clear structures and processes for the M&E of adaptation*

Involving national stakeholders is important for promoting ownership of adaptation action, building national capacities and getting regular feedback from those primarily concerned. National stakeholders should participate in project steering and M&E structures and processes at both political and technical level.

C2 *Set up a comprehensive, well-documented M&E system for tracking adaptation results*

Projects with an adaptation focus or significant adaptation dimension need a comprehensive M&E system, designed at an early stage (i.e. ideally during the first quarter of project implementation), to inform the monitoring and reporting of adaptation achievements and to support evaluation and learning processes. This system should be aligned with, but not limited to the intervention's logical framework.

C3 *Make specific arrangements for the M&E of adaptation-relevant field activities*

The development of shared results frameworks for field activities or sub-projects managed at the local level is encouraged. This can be complemented by the preparation of common monitoring guidelines. The M&E framework for field activities or sub-projects, once developed, can be integrated into the project's overall M&E system.

C4 *Allocate adequate resources, fine-tune processes and prepare a M&E workplan*

The allocation of resources to the M&E of adaptation should be considered a long-term investment and a necessary complement to the allocation of resources for adaptation activities. It should be planned at the intervention design stage.

C5 *Implement the M&E workplan and keep the M&E system up-to-date*

The M&E structures and processes should be tested and fine-tuned during the inception phase. The M&E system and indicators can be reviewed for any potential updates during implementation.

C6 *Regularly report on adaptation results, in light of the evolution of external factors*

Reports should include progress against all adaptation-relevant elements of the logical framework, in each interim progress report – both in narrative form (complemented as relevant by tables, graphs, etc.) and through the inclusion of the full logical framework with updated indicator values.

Madagascar
Agro-ecology practice for 6th-graders

photo Rafalia Henitsoa

D

CROSS-CUTTING: ENHANCING THE QUALITY AND EVALUABILITY OF ADAPTATION ACTION

D1 *Consider approaches for enhancing the results orientation of adaptation action*

Projects should be designed with OECD-DAC criteria in mind from the onset, so that relevance, coherence, efficiency, impact and sustainability are strongly embedded in the intervention logic and implementation approaches and modalities.

D2 *Consider approaches for integrating adaptation and equity principles*

Article 7 of the Paris Agreement establishes six adaptation principles – recommending that adaptation be country-driven, gender-responsive, participatory and transparent, addressing vulnerabilities, guided by best science and local knowledge, and supportive of national development / integrated into wider development policies and plans. Another important principle, reiterated in the Paris Agreement, is the equity principle. Projects should also be designed with these principles in mind from the onset.

D3 *Reflect these approaches in the logical framework and other project design elements*

The chosen approaches to ensuring the quality of adaptation action, as exemplified above, should be explicitly reflected in the project's logical framework, through integration in the formulation of objectives and results, the short description of activities, and/or the selection and formulation of indicators and targets. They should also be reflected in the action document and other project design documents as may be relevant, and considered in the choice of implementation modalities.

D4 *Report on the implementation of these approaches*

The planning and, most importantly, the implementation of the chosen approaches to ensuring the quality of adaptation action, as exemplified above, should be explicitly documented in inception, interim and final implementation reports.

India
Well rehabilitation in Uttar Pradesh
© photo Geraldo Carreiro

PRACTICAL STEPS FOR PARTNER COUNTRIES' SYSTEMS

Practical steps towards strengthening partner countries' adaptation M&E systems include:

- *Identify opportunities for using or enhancing national M&E systems for adaptation*

This is about looking for opportunities for the project to contribute to the strengthening of national adaptation M&E systems in parallel with conducting its own monitoring and other activities.

- *Integrate activities that contribute to the strengthening of national adaptation M&E systems*

Support for the strengthening of partner countries' M&E systems can be provided on an ad-hoc basis, i.e. as a one-off contribution, or on a more perennial basis, i.e. with a view to establishing or enhancing permanent features of M&E systems for adaptation. The second option is to be preferred from a sustainability point of view.

- *Help lay the foundations for transformational adaptation and avoidance of maladaptation*

To meet the growing challenges associated with adaptation, national M&E systems across the world need to be developed in such a way that they capture long-term perspectives. Besides supporting incremental adaptation – i.e. seeking to preserve or "climate-proof" existing systems and practices, current or planned investments and development activities, they should also be equipped to inform transformational adaptation – i.e. the replacement of systems and practices that are no longer viable with alternatives that are better suited to new climate and environmental conditions (IIED 2019).

Cambodia
Kompong Khleang floating village, Siem Reap
© EU GCCA+ 2020
photo Kimlong Meng

EXAMPLES OF ADAPTATION INDICATORS

The choice of adaptation indicators at project or specific action level is highly context-specific. It should be driven by contextual information on climate-related vulnerabilities and risks, as well as the project's theory of change for adaptation.

It is important to give priority to:

- Indicators that are **specific** to climate change adaptation and disaster risk reduction;
- Indicators that are not necessarily specific, but can be **relevant** to adaptation if they have a clear and explicit link with proposed adaptation pathways. Relevant but non-specific indicators can be "clima-fied", making them specific to adaptation by the addition of extra specifications that connect them to the adaptation logic (in green).

Potentially suitable indicators can be drawn from **DG INTPA's Results and Indicators for Development**, and from the GCCA+ Practical Guide on Monitoring and evaluation of climate adaptation action.

Below are some examples of adaptation indicators (ecosystem and natural resources management actions) from GCCA/GCCA+ projects and other sources.

KEY RESULTS	EXAMPLES OF ADAPTATION-SPECIFIC INDICATORS
IMPACT	
To build sustainable development	• Proportion of degraded [ecosystem] over total area (%) *(SDG 15.3.1/OPSYS core indicator)*
OUTCOME	
More gender-responsive, inclusive, climate- and conflict-sensitive and sustainable management of land, natural resources and ecosystems	• Areas of terrestrial and freshwater ecosystems under (a) protection (b) sustainable [climate-resilient] management with EU support (square kilometres) (GERF 2.9 / OPSYS core indicator) • Surface area (hectares) and proportion (%) of agricultural and pastoral ecosystems where sustainable [climate-resilient / climate-smart] land [and water] management practices have been introduced with EU support (hectares) (GERF 2.2 / OPSYS core indicator) • Marine areas under a) protection and b) sustainable management with EU support [for the purpose of increasing the climate resilience of fisheries] (square kilometres) (GERF 2.8 / OPSYS core indicator) • Proportion of fish stocks within biologically sustainable levels [as a result of support for climate-resilient communities] (%) (SDG 14.4.1 / OPSYS core indicator) • Degree of integrated water resources management (IWRM) implementation [in the context of adaptation action] (0 to 100 score) (SDG 6.5.1 / OPSYS core indicator) • Proportion of destroyed mangrove forests in targeted areas restored for coastline protection purposes and in good health (GCCA Cambodia)
OUTPUTS	
Diversification as a strategy for adapting to climate change	• Perceived change in the livelihoods of climate-vulnerable coastal communities as a result of implementing alternative livelihood activities (% of households reporting improved livelihoods) (GCCA Cambodia)
Increased awareness of climate change adaptation and disaster risk reduction (DRR)	• Number of public awareness campaigns on climate change and sustainable land management conducted in mass media (GCCA Eastern Caribbean) • Number of people with increased environmental and climate change awareness / awareness of DRR thanks to EU support, by sex, age and ethnicity
Strengthened capacities of government authorities and communities for inclusive, transparent and sustainable / climate-resilient management of natural resources (including conflict sensitive and rights-based land management and use)	• Number of women and men receiving payments for environmental services for protecting watersheds or areas of high biodiversity thanks to EU support • Number of trained government officials / community representatives with increased skills and/or knowledge in relation to sustainable and climate-resilient management of natural resources, by sex and ethnicity • Number of people trained who increased their knowledge of and/or skills on agroforestry, sustainable land and water management practices [in the context of adaptation action] (disaggregated by sex, age and population group) (OPSYS core indicator) • Number of staff trained in integrating climate risks into IWRM (GCCA Belize) • Number of people / communities / agencies with improved knowledge of good practices on increasing resilience to climate-related risks affecting the water sector, through engagement in adaptation activities in the field of water resources and watershed management (GCCA Belize)

Tanzania – Growing drought-resistant crops such as sorghum and millet – EcoAct project
© EU GCCA+ Tanzania

[cover]
Micronesia
Villagers of Pulusuk receiving one of the 26 rainwater tanks.
© EU GCCA+
Photo Sean Kaddanged

Monitoring and evaluation of climate adaptation action

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#EUClimateAction

READ THE FULL PRACTICAL GUIDE
https://learning.eu-capacity4dev/gcca-community/documents

For managers and implementers of EU supported projects looking for a deeper analysis with more examples and practical steps.

THE ALLIANCE FOR A CHANGING WORLD

The **Global Climate Change Alliance Plus (EU GCCA+)** is a European Union flagship initiative helping most vulnerable countries respond to climate change.

It started in 2007 and has become a major climate initiative in over 100 countries in Africa, Asia, the Caribbean and Pacific region.

Youtube GCCACommunity

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