

GLOBAL CLIMATE CHANGE ALLIANCE PLUS (GCCA+)
RESULTS FRAMEWORK

DRAFT

December 15, 2016

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Acknowledgements

This framework was developed by Geraldo Carreiro, Guido Corno and Christophe Legrand from the GCCA+ Support facility, with the contribution of many colleagues from the European Commission's Directorate-General for International Cooperation and Development (EuropeAid):

- Mr Peter Craig-McQuaide, Head of the Sustainable Energy and Climate Change unit (until September 1st 2016)
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Executive Summary

In October 2015, the Unit for Sustainable Energy and Climate Change of the Commission's Directorate-General for International Cooperation and Development (hereafter DG DEVCO), overseeing the Global Climate Change Alliance + (hereafter GCCA+), initiated the development of a GCCA+ Result framework (hereafter GCCA+ RF) with the aim to provide the means to monitor and report on activities and overall results to be reported on the overall governance and performance of the GCCA+ flagship initiative. This is also in line with the recommendations of the 2014 global evaluation of the Global Climate Change Alliance¹.

The document presents the GCCA+ RF, and notably how it is aligned to the European Union International Cooperation and Development Results Framework (hereafter EURF)² and to the GCCA+ key reference documents. These comprise the Global Public Goods and Challenges (hereafter GPGC) programme³, the Commission Staff Working Document (hereafter SWD) "Implementation framework of the Global Climate Change Alliance"⁴, and the GCCA+ concept note.⁵

The purpose of this document is threefold:

- **measure GCCA+ contribution to DEVCO actions, in relation to the SDGs of interest to the GCCA+ mandate;**
- **provide an overview of GCCA+ achievements** at country level and across GCCA+ targeted countries;
- provide information on **the performance of the GCCA+.**

Most data is to be extracted from existing monitoring tools, such as: the planned EURF database ; United Nations statistics; the GCCA+ index web platform; and GCCA(+) project monitoring systems. A full logframe for the GCCA+ is presented in annex 1.

Finally, annexes 2, 3 and 4 provides some initial tools and methodological guidance notes for the use of across the board mitigation and adaptation indicators as well as country progress towards the mainstreaming of climate change adaptation.

¹ [Evaluation of the Global Climate Change Alliance \(GCCA\), Global programme, World-Wide, Final Report, 6th February 2015 \(Revised 20th April 2015\)](#)

² As described in the "Staff Working Document 2015 (SWD) 2015, 80 "Launching the EU International Cooperation and Development Results Framework" (2015)80).

³ ["Programming thematic programmes and instruments, Programme on Global Public Goods and Challenges 2014-2020, Multi-annual indicative programme 2014-2017"](#)

⁴ [Commission Staff Working Document, "Implementation Framework of the Global Climate Change Alliance", SEC\(2008\) 2319](#)

⁵ It should be noted that the SWD mainly refers to adaptation. Shall the GCCA+ better include mitigation, a proposed reviewed objective could be: "To help countries most vulnerable to climate change, in particular Least Developed Countries (LDCs) and Small Island Developing States (SIDS), **to address climate change and its effects**, in support of the achievement of the SDGs, and to have their voice better heard in the international climate change negotiations."

1. Introduction

The 2014 global evaluation of the Global Climate Change Alliance⁶ (hereafter GCCA) states that “greater effort is required, in future programming, to identify or help formulate indicators that align more effectively with GCCA objectives”.

In October 2015, at time of launching the Global Climate change Alliance Plus (hereafter GCCA+), the Unit for Sustainable Energy and Climate Change, overseeing the GCCA+ got into developing a Result framework (hereafter GCCA+ RF) with the aim to provide means to monitor activities and overall results and to report to MSs on the overall governance and performance of the programme.

This document constitutes an attempt in providing such framework (methodology and tool), tailored to the GCCA+ initiatives specificities⁷ and that is aligned to the European Union Result Framework (hereafter EURF)⁸, thereby providing the means to inform GCCA+ stakeholders (from decision makers to implementers) on: (1) GCCA+ initiative's contribution to the overall objectives of the EU international cooperation and development assistance, and (2) attainment of results under GCCA+ programmes in partner countries. This framework shall also facilitate information collection on , (3) the performance of the GCCA+ Support facility work.

In other words, the GCCA+ RF aims at integrating the multiple M&E requirements of the GCCA+ whether they are upstream (European Union, Commission's Directorate-General for International Cooperation and Development, hereafter DG DEVCO) or downstream (Beneficiaries, GCCA+ Support Facility). It is therefore important to note that the GCCA+ RF goes beyond the initial GCCA+ M&E framework provided in the GCCA+ concept note. Indeed, it aims at contributing to the EURF and to the Commission's efforts “to strengthen monitoring and reporting on results of EU International cooperation and development assistance at the project and programme level, at country level and at the corporate level of the EU as a donor”⁹.

Finally, it should also be understood that key elements of this GCCA+ result framework such as indicators will be reviewed and aligned, as appropriate, with those expected to emerge from any future revision of the EURF (i.e. in line with update of the EURF indicators to be carried out following the adoption of the Sustainable Development Goal indicators¹⁰).

⁶ [Evaluation of the Global Climate Change Alliance \(GCCA\), Global programme, World-Wide, Final Report, 6th February 2015 \(Revised 20th April 2015\)](#)

⁷ ["The plus of GCCA+", The Global Climate Change Alliance Plus, An EU flagship initiative supporting climate resilience \(2015\)](#)

⁸ The format adopted for this GCCA+ framework is inspired by the EU International Cooperation and Development Results Framework (EURF) as described in the ["Staff Working Document 2015 \(SWD\) 2015, 80 "Launching the EU International Cooperation and Development Results Framework" \(2015\)80](#).

⁹ ["Staff Working Document 2015 \(SWD\) 2015, 80 "Launching the EU International Cooperation and Development Results Framework" \(2015\)80](#)

¹⁰ [SDG indicators website](#)

2. Purpose

The GCCA+ RF purpose is to:

- **measure GCCA+ contribution to DEVCO actions** and implementation of its Global Public Goods and Challenges (hereafter GPGC) programme 2014-2020¹¹, and notably to the objective 1 of its strategic area on Climate change adaptation and mitigation, and support for the transition to climate-resilient low-carbon societies¹², to which the GCCA+ is a flagship programme. It will also demonstrate its contribution to the United Nations Agenda 2030 for sustainable development, **in relation to the SDGs of interest to the GCCA+ mandate**;
- **provide an overview of GCCA+ achievements** at country level and across GCCA+ targeted countries by proposing to EU Delegations, some indicators for both types of GCCA+ projects i.e., on climate change mitigation and adaptation;
- provide information on **the performance of the GCCA+**, and notably the support provided by the GCCA+ Support Facility to the implementation of the programme.

3. Structure and coverage

The GCCA+ Results Framework is aligned to the flagship initiative's key reference documents, as follows (see also Figure 1 below) :

- **At impact level**, the main reference document is the GPGC programme 2014-2020.
- **At outcome level, the objectives of the GCCA+** are defined by the Commission Staff Working Document (hereafter SWD) "Implementation framework of the Global Climate Change Alliance"¹³, and the update made through the GCCA+ concept note (e.g. climate resilience)¹⁴.

¹¹ ["Programming thematic programmes and instruments, Programme on Global Public Goods and Challenges 2014-2020, Multi-annual indicative programme 2014-2017"](#)

¹² "Objective 1: To facilitate the transition to a climate resilient low-carbon future in line with the 2°C goal and to foster a common understanding of the risks, costs and challenges posed by climate change, the benefits of low carbon action and the links to adaptation and sustainable development"; ["Programming thematic programmes and instruments, Programme on Global Public Goods and Challenges 2014-2020, Multi-annual indicative programme 2014-2017"](#), p33.

¹³ [Commission Staff Working Document, "Implementation Framework of the Global Climate Change Alliance", SEC\(2008\) 2319](#)

¹⁴ It should be noted that the SWD mainly refers to adaptation. Shall the GCCA+ better include mitigation, a proposed reviewed objective could be: "To help countries most vulnerable to climate change, in particular Least Developed Countries (LDCs) and Small Island Developing States (SIDS), **to address climate change and its effects**, in support of the achievement of the SDGs, and to have their voice better heard in the international climate change negotiations."

- **At induced outputs level, the expected outputs are defined on the basis of the two pillar approach of the GCCA+ flagship initiative (2014-2020) as defined by the concept note, i.e.:**
 1. A **platform for dialogue and exchange of experience** between the EU and developing countries,
 2. A **source of technical and financial support** for the world's most climate-vulnerable countries. In this context, three priority areas of intervention were identified (see Box 1).

Additionally, also on the basis of the GCCA+ concept note, it includes a third point:

3. A **horizontal communication and knowledge management base** reinforcing the above two pillars.
- **The input level** is the level of resources and the activities of the GCCA+ Teams (DEVCO Unit C6 management team and the Support Facility providing technical assistance for the implementation of the programme). This is monitored as they act as process facilitators, providers of technical guidance and a range of technical services (e.g. global and regional events, field or remote technical support to European Union Delegations, etc.).

Box 1 – Priority areas of intervention for GCCA+ supported Actions

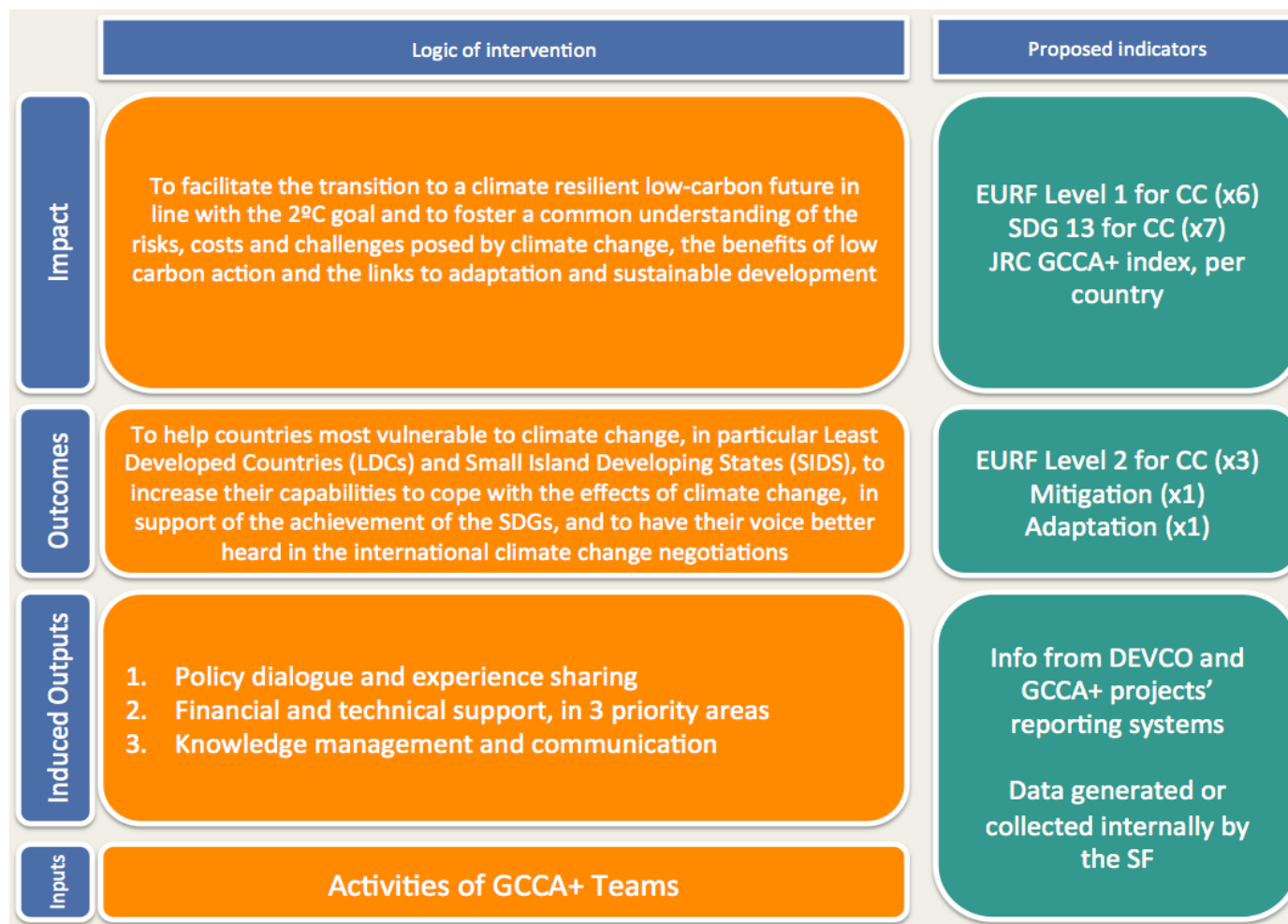
The GCCA+ concept note defines the thematic areas in which technical and financial support (i.e., Induced Output 2) should focus on. These are the following:

- Climate change mainstreaming and poverty reduction
- Increasing resilience to climate-related stresses and shocks
- Sector-based climate change adaptation and mitigation strategies

Source: ["The plus of GCCA+", The Global Climate Change Alliance Plus, An EU flagship initiative supporting climate resilience, \(2015\)](#)

Figure 1 summarise the intervention logic and sources of indicators , thus showing the GCCA+ RF alignment to core DG DEVCO and international frameworks.

Figure 1: GCCA+ intervention logic and sources of the proposed indicators



Note: in the proposed indicators the number given in brackets indicates the number of indicators selected from the source given.

4. Indicators

The full set of indicators is presented in Annex 1.

4.1. Data collection and consolidation

Indicators selected at **impact level** are firstly extracted from the EURF level 1 indicators¹⁵ with a focus on those relevant to the GCCA+ mandate. It shall be noted that the selected indicators will be reviewed and aligned, as appropriate, with those expected to emerge from any future revision of the EURF (i.e. in line with update of the EURF indicators to be carried out following the adoption of the Sustainable Development Goal indicators¹⁶).

However, as the current EURF level 1 indicators proposed for climate change are limited (3 of the 6 covering natural resources, environment and climate change, out of 32 covering all of DEVCO's sectors), several other indicators will be added:

- GPGC indicators¹⁷,
- SDGs¹⁸,
- Indicators the European Commission's Joint Research Centre (JRC) selected for the GCCA+ climate-resilient development index and used to screen and prioritise GCCA+ partner countries¹⁹.

These indicators draw on international organisations' M&E and statistics systems (UN agencies, World Bank, European Commission and others) after adjustments from nationally produced reporting exercises. The determination of how much of the changes registered at impact level is directly attributable to the GCCA+ initiative is not possible and falls outside the scope of this exercise and framework. At this level 1, no measure is made by or for the sole purpose of the GCCA+.

The criteria applied to the selection of the EURF indicators are given in Box 2 hereafter.

Data related to the **impact level** will be collected and reported across all partner countries where the GCCA+ is funding interventions. The reason being this level of the framework is intended to provide an overall picture (*'snapshot'*) of the development status across all our partner countries.

¹⁵ EURF indicators level 1 can be consulted in: "[Staff Working Document 2015 \(SWD\) 2015, 80 "Launching the EU International Cooperation and Development Results Framework" \(2015\)80](#)", p4 and p15-21. Methodological notes are available here: <http://capacity4dev.ec.europa.eu/eu-rfi>

¹⁶ [SDG indicators website](#)

¹⁷ These are already mostly in line with the EURF

¹⁸ It is expected that these different sources of indicators will merge or align in the course of the coming years in line with adoption of the SDGs in September 2015 and process of definition of SDGs Indicators. The EURF will be reviewed accordingly.

¹⁹ [GCCA+ index on climate-resilient development, developed by the JRC](#), <http://knowsdgs.jrc.ec.europa.eu/>

Box 2 - Criteria applied to the selection of indicators at levels 1 and 2 of the EURF:

- In line with EU development policy priorities 2014-2020 and, in that respect, largely reflecting the proportion of each sector's importance in terms of its financial weight within the EU international cooperation and development assistance portfolio for 2014-2020;
- Aligned with indicators commonly used by partner governments and making sure that data are readily available;
- Clearly defined and adequate for aggregation;
- Aligned, where possible, with indicators being used by other donors.

Source: The SWD (2015)⁸⁰ "Launching the EU International Cooperation and Development Results Framework"

At outcome level, focus is solely on those countries in which there is GCCA+ funded ongoing project/programme (or GCCA phase 2008-2014). Therefore data collection and reporting is to be based on:

- the EURF level 2, when available;
- collection of data based on GCCA (+) project M&E systems.

In the latter case, DEVCO C6 will ensure that the review at intervention design level (identification and /or formulation, including the Quality Service Group review) will ensure that information originates from national statistical systems or specifically collected from project and programme monitoring mechanisms. Indeed, indicators should be aligned as much as possible with indicators commonly used by partner governments, in as much as they are clearly defined, adequate for aggregation of patterns and trends against each project's logframe and for which data are readily available at country level or at project or programme level.

In order to have complementary information that is more specific to GCCA+ objectives, the GCCA+ RF will propose to European Union Delegations (EUDs) to use *one* specific indicator for interventions focusing on climate change adaptation (see Box 3), and another *one* for interventions on climate change mitigation (see Box 4). Having standard indicators will also ensure coherence of results reported across all GCCA+ projects. These indicators should be used when a GCCA+ intervention is being designed²⁰. DEVCO-C6 shall ensure that these GCCA+ proposed indicators "across the board" for mitigation and adaptation will be integrated in the project M&E system.

²⁰ It should be underlined that GCCA+ supported actions are country and demand driven, notably designed at the level of EUDs, in consultation with local partners, and then reviewed and endorsed by DEVCO Quality Support Groups. Hence, . EUDs may receive the support of the GCCA+ at design level (identification and/or formulation), notably through the Support Facility (which is optional) or DEVCO thematic units as appropriate .

Box 3 – Proposed outcome indicator, for projects having climate change adaptation as a main objective (compulsory for GCCA+ supported actions CCA Rio marked 2, recommended for CCA Rio marked with a score of 1)

- Proposed outcome indicator for adaptation:
Number of final beneficiaries (disaggregated by sex) of climate adaptation measures supported by the GCCA+ project/programme
- A methodological note (Annex 2) has been prepared to ensure users' common understanding of how to use the indicator, and thereby improve coherence of results across the GCCA+ projects.
- Characteristics of the methodology proposed:
 - Easy to implement in any project context as it is based on standard practice regarding project accountability and reporting (see: Project Cycle Management guidelines, EuropeAid, <https://goo.gl/7sTibN>);
 - Can be applied even without expertise in M&E;
 - Projects results obtained through this indicator can be aggregated.

Box 4 – Proposed outcome indicator, for projects having climate change mitigation as a main objective (compulsory for GCCA+ supported actions CCM Rio marked 2, recommended for CCM Rio marked with a score of 1)

- Proposed outcome indicator for mitigation:
GHG Emissions reduced or avoided expressed on the basis of CO₂ equivalent by the EU supported intervention (kt CO₂ eq).
- A methodological note (Annex 3) has been prepared to ensure users' common understanding of how to use the indicator, and thereby improve coherence of results across the GCCA+ projects.
- Characteristics of the methodology proposed:
 - Designed in line with Intergovernmental Panel on Climate Change (IPCC) and the United Nations Framework Convention on Climate Change (UNFCCC) definitions and standards (see: UNFCCC guidelines on annual inventories, <https://goo.gl/n4c47U>);
 - Are web based and thereby easily available at international level;
 - Do not require expert skills;
 - Projects results obtained through this indicator can be aggregated.

Due to the working context of the GCCA+ (e.g. indicators decided by EUDs and national partners), it is probable that many of the project level outcome indicators are not standardised and/or cannot be aggregated. Adaptation, particularly, is not related to a specific sector, and there is no one universally recognised indicator for climate change adaptation. Therefore, EUDs will need to use a selection of indicators that best serve the purpose of monitoring their specific adaptation action, some of these indicators probably originating from other sources than the EURF list. Yet, all indicators selected by EUDs will be taken into account by the GCCA+ SF at time of project updates carried out with EUDs climate change focal points, and the related results will be studied to be used for communication, lessons learning, or illustrative purposes.

The extraction of information from GCCA+ projects will be done from their project M&E logframes at outcome level. During the elaboration of this GCCA+ RF, the Unit for Quality and Results of DEVCO also approached the GCCA+ to see if the GCCA+ would be interested to pilot a tool that they are developing to have information on ongoing projects, as part of GCCA+ monitoring processes.

Annex 2 and 3 constitute short explanatory notes to EU Delegations for the use of the indicators for adaptation and mitigation to be used at the initial Action Document (iAD) preparation level. To systematize the practical use of these 2 indicators during identification and formulation of GCCA+ action documents i.e. in the relevant Monitoring & Evaluation section and logical framework, it will be recommended to define baseline and alternative (i.e. taking into account the results proposed by the project) scenarios.

Annex 4 presents another tool to support EUDs to quickly analyse country progress towards the mainstreaming of climate change adaptation.

Outputs (and input) indicators capture data on how processes and resources are managed and therefore include information on areas related to the activities and outputs of the GCCA+ delivered by DEVCO C6 and the GCCA+ Support Facility. The GCCA+ SF is responsible for the collection of the related data.

4.2. Baselines and targets

Impact – At this level, the latest available data will be collected across all countries where the GCCA+ financially supports projects/programmes. These values should be understood as the starting point, or baseline, against which future progress at this level will be assessed.

Outcome – Baselines will mainly refer to data available at the time of formulation of the GCCA+ national and regional actions /projects / programmes. Information and results collected will be compared, year by year, to demonstrate the progress (i.e. what has been achieved) since the introduction of the GCCA+ RF.

Outputs/Inputs – Baseline values are mostly 0, as a starting point of activities. Detailed targets are available in Annex 1.

The above approaches on baselines and targets are consistent with the current practices used

by other donors' results frameworks (e.g. OECD, AFD, GEF,).

5. Modalities for reporting on results

5.1. Periodicity and publication of results information

It is proposed that the monitoring exercise for all levels is aligned with the annual monitoring reporting requirements of the EURF:

- The periodicity of publication is annual;
- The publication is due two months after DEVCO-C6 has provided information on its calendar for reporting requirements within the broader institutional reporting processes.

5.2. Communication and visibility tool on results

It is proposed here to develop a dedicated GCCA+ web portal publishing *a selection* of data and results focusing on the GCCA+ RF outcome and output levels. The input of data would fall under the responsibility of the SF with agreement of DEVCO C6. This would contribute to increasing GCCA+ transparency and **accountability towards partners and stakeholders**. A draft concept note for this GCCA+ open data web portal is provided in Annex 5.

GCCA+ Intervention Logic			
Sources: * GPGC; ** GCCA+ concept note; *** EURF; **** SWD 2008			
	GCCA+ Intervention Logic	Related Indicators	Sources of data
Overall Objectives	Contribute to Component 1 of the GPGC: "to facilitate the transition to a climate resilient low-carbon future in line with the well below 2 °C goal and to foster a common understanding of the risks, costs and challenges posed by climate change, the benefits of low carbon action and the links to adaptatation and sustainable development"* Thereby, contribute to the overall objective of the GPGC: "support inclusive sustainable development"*	SDG 13.1.1 Countries with national and local disaster risk reduction strategies (Tier II)	SDGs: indicator web platform developed by SDSN: "Indicators and a Monitoring Framework Launching a data revolution for the Sustainable Development Goals" (http://indicators.report) NOTE: At the moment it gives only the characteristics of the indicators but should publish the collected data in the future
		SDG 13.1.2 Number of deaths, missing persons and persons affected by disaster per 100,000 pp (Tier II)	
		SDG 13.2.1 Countries that have communicated the establishment or operationalization of an integrated policy/strategy/plan which increases their ability to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emissions development in a manner that does not threaten food production (including a national adaptation plan, nationally determined contribution, national communication, biennial update report or other) (Tier III)	
		SDG 13.3.1 Countries that have integrated mitigation, adaptation, impact reduction and early warning into primary, secondary and tertiary curricula (Tier III)	
		SDG 13.3.2 Countries that have communicated the strengthening of institutional, systemic and individual capacity-building to implement adaptation, mitigation and technology transfer, and development actions (Tier III)	
		SDG 13.a.1 Mobilized amount of United States dollars per year by 2020 accountable towards the \$100 billion commitment	
		SDG 13.b.1 Number of least developed countries and small island developing States that are receiving specialized support, and amount of support, including finance, technology and capacity-building, for mechanisms for raising capacities for effective climate change-related planning and management, including focusing on women, youth and local and marginalized communities (no Tier)	
		EURF 1.20: Number of (i) deaths per 100,000 and (ii) economic loss as a proportion of GDP, from climate-related and, natural disasters – average over last ten years	EURF
		EURF 1.21: CO2 equivalent emission	idem
		EURF 1.22: Proportion of population using an improved drinking water source	idem
		EURF 1.23: Rate of net forest cover change	idem
		EURF 1.24: State of global biodiversity	idem
		EURF 1.25: Proportion of population using an improved sanitation facility	idem

			about-the-gcca/jrc-gcca-index)
		Related Indicators	Sources of data
Specific Objectives	To help poor developing countries most vulnerable to climate change, in particular Least Developed Countries (LDCs) and Small Island Developing States (SIDS), to increase their capabilities to cope with the effects of climate change, in support of the achievement of the SDGs and NDCs, and to have their voice better heard in the international climate change negotiations.****	EURF 2.23: Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support	EURF: DEVCO (precise source: annual report? to be discussed with DEVCO) M&E systems of GCCA+ interventions, collected in GCCA+ bi-yearly information updates (via project fiches and accessible through the GCCA+ web tool)
		EUR 2.24: Number of hectares of protected areas managed with EU support	
		EURF 2.25: Number of Micro, Small and Medium Enterprises (MSMEs) applying Sustainable Consumption and Production practices with EU support	
		<i>Other indicators at S.O level including EURF Level 2 indicators that were selected for GCCA projects in key sectors related to adaptation or mitigation (examples: e.g., agriculture, water, DRR, environmental protection, infrastructure, energy) will also be collected. The list of indicators that will be captured in this system cannot be anticipated at this moment.</i>	<i>DEVCO 06 tool for monitoring ongoing projects, applied to GCCA projects. Information validated by EUD focal points.</i>
		For GCCA+ adaptation projects: Number of final beneficiaries (disaggregated by sex) of climate adaptation measures supported by GCCA+	<i>DEVCO 06 tool for monitoring ongoing projects, applied to GCCA projects. Information validated by EUD focal points.</i>
		For GCCA+ mitigation projects: GHG emissions reduced or avoided in kt of CO ₂ eq through GCCA+ interventions	

		Participant lists at organised events
	% of participating countries to the country or regional workshops that have undertaken concrete actions for the integration of CC policy or DRM into their national development planning and budget documents using information or support received by the GCCA+	Results of GCCA+ community members feedback (surveys) Evaluation reports of GCCA+ funded projects Ex-post surveys of specific country/regional workshops
	Number of funded participants from LDCs and SIDS that have taken part in RCs.	SF activity reports (activity tracking sheets) Participant lists at organised events
	Number of participants attending UNFCCC side events organised by the GCCA+	Ex-post surveys of specific side events
	Number of meetings and workshops with EU Member States	SF activity reports (activity tracking sheets) Participant lists at organised events
	Number of “training of trainers” workshops organised	Training materials readily available
	Number of participants mainly from LDCs and SIDS that have taken part in “training of trainers” workshops	SF activity reports (activity tracking sheets) Participant lists at organised events
	Satisfaction rate of participants that have taken part in “training of trainers” workshops	ToT evaluation surveys
	% of funded participants mainly from LDCs and SIDS that have taken part in study tours satisfied by the study tour.	Participants feedback/survey
	% of GCCA+ beneficiary countries making specific requests for support that have been attended.	SF activity reports (activity tracking sheets)

	-> Mainstreaming CC into poverty reduction and development efforts		annual reports (TBC)
	-> Increasing resilience to climate related stresses and shocks	Amount of funding commitment of the GCCA+, for adaptation	Rio markers for CCA, DEVCO annual reports (TBC)
	-> Supporting formulation and implementation of concrete and integrated sectoral based climate change adaptation and mitigation strategies	Amount of funding commitment of the GCCA+, for mitigation	Rio markers for CCM, DEVCO annual reports (TBC)
		Number of funding contributing partners	Action Documents
		Amounts of contributions from funding contributing partners	Action Documents
		% of the draft Action Documents submitted to DEVCO QSG process as prepared by the SF are approved with mark A.	QSG reports, DEVCO annual reports (TBC)
		Percentage of identification and formulation missions successfully completed	Mission EUD feedback forms
		Number of requests satisfied by the GCCA+ SF for support for the implementation of on-going programmes	Mission EUD feedback forms
		Number of requests satisfied by the GCCA+ SF counting as "ad-hoc" support to eligible GCCA+ countries	Mission stakeholder feedback forms
		Number of partnerships with research bodies and other stakeholders that contribute to the exchange of knowledge	Mission stakeholder feedback forms
	Induced Outputs	Related Indicators	Sources
Induced Output 3	3 - A knowledge management system and communication base are operational **	Number of stakeholders participating in the KM Action Plan in Year 1, 2, 3, disaggregated by type (event participants, focal points, subscribers to the newsletter, web users, platform users, Cap4Dev community, other)	Newsletters, videos, other publications GCCA+ website, and statistics, Cap4dev statistics Media (press & web articles and social media (twitter posts), dates of publication)
		% of satisfied users of KM tools, disaggregated by type of KM stakeholders as defined as per the KM Action Plan	Satisfaction surveys

		Number of items stored in all information systems including website and portal, disaggregated by type (e.g.: reports, case studies, lessons learned, research papers, information and knowledge products as result of the collaboration and work in the groups of the collaboration Portal)	Website/portal statistics
		Number of communication support material produced, diaggregated by type (videos, photos, flyers, brochures, stories, etc...)	Website/portal statistics
		% of request for information reaching the GCCA+ answered	SF activity reports (activi tracking sheets)

		<p>Activity 1.2</p> <ul style="list-style-type: none"> -Total number of GCCA+ Regional Conferences (RC) in Asia, Caribbean, Africa, SIDS from AIMS region and Pacific are organised - Number of funded participants from LDCs and SIDS having taken part in RCs by August 2021. 	Event reports and relate documents
		<p>Activity 1.3</p> <ul style="list-style-type: none"> - Number of UNFCCC side events delivered by August 2021. 	Event reports and relate documents
		<p>Activity 1.4</p> <ul style="list-style-type: none"> - Percentage of the requests made for the preparation and delivery of meetings and workshops with EU Member States addressed successfully by August 2021 	Reports
		<p>Activity 1.5</p> <ul style="list-style-type: none"> - Number of “training of trainers” or other types of training organised by August 2021. - Number of participants mainly from LDCs and SIDS that have taken part in “training of trainers” or other types of training with a satisfaction rate of 85% by August 2021. 	Reports

	Activity 1.7 - Number of study tours among GCCA+ partners and EU Member States organised by August 2021.	Reports
	Activity 1.8 - Percentage of requests made to the SF for any other related activities addressed by August 2021	Reports
	Activity 2.1 - Percentage of requests made for identification and formulation missions Assessed positively by EUDs by August 2021.	SF services assessment forms
	Activity 2.2 - Percentage of requests for remote support for the implementation of on-going programmes are successfully addressed, by August 2021	Reports
	Activity 2.3 - Percentage of requests for ad-hoc support to eligible GCCA+ countries are successfully addressed by August 2021.	Reports
	Activity 2.4 - Number of partnerships (exchange of knowledge) between research bodies to which the SF will have contributed by August 2021.	Reports

			Project communication & KM guidelines
	Activity 3.2	<ul style="list-style-type: none"> - Number of updates of project information per year until August 2021 - One web management platform (collaborative platform) developed to facilitate the project information update and communication processes with EUDs and projects 	Projects fiches Portfolio masterfile Web management platform (collaborative platform)
	Activity 3.3	<ul style="list-style-type: none"> - Number of Annual publication to which the SF will have contributed by August 2021 - Number of newsletter produced annually by August 2021 - Number of videos produced by year by August 2021 	Annual publications Newsletters Videos
	Activity 3.4	<ul style="list-style-type: none"> - One new GCCA+ website by the end of 2016 - Percentage of events leading to the publication of new content on the GCCA+ website 	GCCA+ website Website statistics
	Activity 3.5	<ul style="list-style-type: none"> - Number of posts on Cap4Dev GCCA+ community group by August 2021 	Cap4DEV statistics
	Activity 3.6	<ul style="list-style-type: none"> - Percentage of meetings and events supported by the SF 	Events reports and related documents
			Results of appreciation

		<ul style="list-style-type: none"> - Number of months covered by a monthly activity report by end of August 2021 - Number of 6-monthly interim reports by end of August 2016 - One final report within a month of the end of the SF contract 	
		<p>Coordination</p> <p>Monthly C6-SF coordination meetings carried out during the duration of the contract</p>	Minutes of meetings

Annex 2 – Adaptation Indicator methodology note

1. Name of indicator	Number of final beneficiaries (disaggregated by sex) of climate adaptation measures supported by GCCA+
2. Which sector (using Result Framework heading)	Natural Resources, Environment and Climate Change
3. Technical Definition	<p>Societies have a long record of managing the impacts of weather- and climate-related events. Nevertheless, additional adaptation measures will be required to reduce the adverse impacts of projected climate change and variability, regardless of the scale of mitigation undertaken over the next two to three decades. Moreover, vulnerability to climate change can be exacerbated by other stresses. These arise from, for example, current climate hazards, poverty and unequal access to resources, food insecurity, trends in economic globalisation, conflict and incidence of diseases²³.</p> <p>Adaptation refers to the actions that countries will need to take to respond to the impacts of climate change that are already happening, while at the same time preparing for future impacts. It refers to changes in processes, practices and structures that can reduce vulnerability to climate change impacts, such as sea level rise or food insecurity. It also includes making the most of any beneficial opportunities associated with climate change, such as increased crop yields or longer growing seasons in some regions (UNFCCC, 2016).</p> <p>Adaptation solutions take many shapes and forms, depending on the unique context of a community, business, organization, country or region. There is no ‘one-size-fits-all-solution’—adaptation can range from building flood defences, setting up early warning systems for cyclones and switching to drought-resistant crops, to redesigning communication systems, business operations and government policies. Therefore, adaptation measures or options vary depending on many factors and can be measures can be classified based on the sectors considered (UNFCCC, 2006 and TERI, IPCC, 2007).</p>

²³ UNFCCC AR4,

	<p>As such, there is no one internationally agreed indicator that measures the progress in adaptation to climate change due to a single intervention (project).</p> <p>Number of final beneficiaries (disaggregated by sex) of climate adaptation measures supported by GCCA+, include: number of people who received direct assistance from the GCCA+, as a response to a climate change adaptation need that was previously identified (through GCCA+ or other structures).</p> <p>Climate adaptation measures can be understood as activities which support some or all of the following objectives (non-exhaustive list):</p> <ul style="list-style-type: none"> - support the implementation of climate vulnerability assessments - support the implementation of climate change adaptation plans, at national (e.g., NAP, INDC), local, or sector level - support the implementation of measures implemented as a response to existing or foreseen climate events, as reflected in a project document. <p>Beneficiaries should be understood as groups or individuals:</p> <ul style="list-style-type: none"> - susceptible to, or unable to cope with, adverse effects of climate change, including climate variability and extremes, and - receiving social, environmental or economic benefits that can be directly attributed to the GCCA+ supported intervention <p>A distinction should be made with information and awareness campaigns, where outreached people should be considered as indirect beneficiaries.</p>
4. Rationale (including which policy priority, and how is this indicator linked to that policy priority)	<p>Adapting to the adverse effects of climate change is, along with mitigation, a major area of action under the UN Convention for Climate Change (UNFCCC). The world is already experiencing changes in mean temperature, shifts in the seasons and an increasing frequency of extreme weather events. As the climate changes, societies will have to learn to adapt. The faster the climate changes, the harder it could be.</p>

	<p>The Agenda for change COM(2011) 637 final states that its support to inclusive and sustainable growth for human development should also contribute to improving the resilience of developing countries to the consequences of climate change. A “focus on helping reduce developing countries' exposure to global shocks such as climate change” is also part of the commitments of the Agenda.</p> <p>The EU therefore committed itself to dedicate at least 20% of its budget for climate relevant expenditures under its 2014-2020 Multilateral Financial Framework. Compared to the average level in 2012-2013, funding for international climate action will more than double. EU climate financial commitments are monitored through the use of “Rio” markers in all EU Action Documents.</p> <p>The Paris Agreement entered into force on 4th November 2016. It establishes a strong transparency and review system to keep track of progress within each country and collectively. It will include robust requirements for GHG inventories and for reporting on progress both (implementing and achieving targets). NDCs includes requirements that all Parties report regularly on their emissions and on their implementation efforts. There will also be a global stocktake every 5 years to assess the collective progress towards achieving the purpose of the agreement and to inform further individual actions by Parties.</p>
5. Level of disaggregation	<p>Beneficiaries should be disaggregated by sex.</p> <p>Where possible/easily available, disaggregation by household, level of poverty (i.e.: below or above national poverty threshold), and the sector of the adaptation measure in question (i.e. agriculture, water, energy, environment, disaster risk reduction, infrastructure, transport, education, health) could also be provided.</p>
6. Data Sources (including any issues on (i) different definitions by source, and (ii) level of availability of the data)	<p>The data sources will be closely related to the implementation of the activities. Data on beneficiaries should be found through:</p> <ol style="list-style-type: none"> 1. National authorities, using routine reports of public services associated to the GCCA+ intervention (e.g., agricultural extension services, Disaster Risk Reduction

	<p>information systems, community information available in municipalities and decentralised offices)</p> <p>2. Routine surveys implemented by third parties (e.g., regular Demographic and Health Surveys)</p> <p>3. EU Project and programme monitoring systems: annual and final reports from implementing organisations, (governments, international organisations, non-state actors), baseline surveys, ROM mid-term reviews, and evaluations.</p> <p>Final figures may be approximations and estimates, for example estimates by NGOs</p>
7. Data calculation (including any assumptions made)	<p><u>Number of people benefitting from adaptation programmes supported by the EU (GCCA+ supported interventions)</u> – aggregate number of direct beneficiaries as described in part 3</p>
8. Worked examples	<p><u>Number of people benefitting from climate adaptation supported by the EU:</u> EU supported a climate change adaptation programme which included i) support to a national administration, including equipment and capacity building of human resources ii) the implementation of pilot projects to implement a mix of climate change adaptation techniques in vulnerable communities.</p> <p>Resulting number of people benefitting from the EU programme will be a sum of i) the number of personnel supported (trained or capacitated) ii) the number of final beneficiaries who improved their resilience to the adverse impacts of climate, disaggregated by sector of activity, sex, poverty level.</p> <p>Examples, in given sectors:</p> <ul style="list-style-type: none"> • Number of people benefitting from malaria control measures in local areas threatened by increased incidence due to climate change (Health) • Number of water users benefitting from conservation measures in areas where enhanced water stress due to climate change is anticipated (Water and sanitation)

	<ul style="list-style-type: none"> • Number of users of water saving irrigation methods to withstand climate change (Agriculture). • Number of fishermen using practices to adapt to changes in fish stocks and target species (Fisheries). • Number of people benefitting from flood prevention measures such as watershed management, reforestation or wetland restoration (Disaster risk reduction). • Number of users of insurance schemes to cope with potential climatic disasters (Disaster risk reduction, Agriculture).
9. Is it used by another organization or in the framework of international initiatives, conventions, etc.? If so, which?	No. The question of setting a single standard indicator for adaptation, that could be used at international level, is under debate. It is possible that such an indicator would focus at country level (not at project level).
10. Other issues	<p>Climate resilience of people benefitting from climate adaptation programmes supported by the EU may not be fully attributable to the EU or a clear-cut EU contribution may be difficult to estimate.</p> <p>This is mainly due to the fact that adaptation to climate change is by nature done at multiple levels and in interacting sectors (e.g.: agriculture and disaster risk reduction).</p> <p>Further, climate change adaptation relates not only to human beings, organisations, and infrastructure, but also to natural systems. Benefits to natural systems may not be captured by this indicator.</p> <p>Nevertheless, it gives a sense of the number of beneficiaries that are supported by the EU.</p>

Annex 3 – Mitigation Indicator methodology note

1. Name of indicator	Greenhouse gas (GHG) emissions reduced or avoided in kt CO₂ equivalent by the EU supported intervention.
2. Which sector (using Result Framework heading)	Natural Resources, Environment and Climate Change ²⁴
3. Technical Definition	<p>The goal is that the emission reductions delivered in the developing (beneficiary) countries, as supported by EU programmes, are contributing to bring the global emission levels in 2020 down to levels consistent with a likely chance of achieving the least cost pathway towards meeting the well below 2°C target (keeping the global mean temperature rise below 2°C relative to pre-industrial levels).</p> <p>The indicator will measure actual global GHG emissions in kt CO₂ eq. The present note intends to be used as a guide to support calculations of GHG emissions from agriculture, forestry and other land use, as a result of a specific EU supported intervention.</p>
4. Rationale (including which policy priority, and how is this indicator linked to that policy priority)	<p>Climate change is happening now; it already affects communities around the globe. Unless it is tackled, it could undermine the world's efforts for development. The poorest and most vulnerable populations and countries will be hit hardest and will have least resources to cope with climate change impacts, e.g. reduced freshwater availability, accelerated desertification and increasingly frequent and severe extreme weather events.</p> <p>The EU is playing a leading role in the global climate negotiations in the context of the United Nations Framework Convention on Climate Change (UNFCCC). The EU has taken bold actions and adopted far-reaching measures internally to achieve the long-term goal of limiting global temperature rise to well below 2°C.</p> <p>Further, the EU also committed itself to dedicate at least 20% of its budget for climate relevant expenditures under its 2014-2020</p>

²⁴ This indicator is suited to GHG emissions due to from biomass combustion or from agriculture, forestry and other land use.

	<p>Multilateral Financial Framework. This is notably monitored through the use of Rio markers²⁵ in all EU Action Documents.</p> <p>EU supported projects pursuing climate change mitigation as a main objective should have the capacity to report on the extent to which they are effectively contributing to the reduction of GHG emissions.</p>
5. Level of disaggregation	<p>Most GHG emissions from biomass combustion or from agriculture, forestry and other land use, are: CO₂, CH₄ and N₂O.</p> <p>However, the results of this indicator are expressed in GHG emissions reduced or avoided as converted to tonnes of CO₂eq.</p> <p>The GHG emissions reductions reported are cumulative reductions. The temporal assessment boundary for direct GHG emissions shall include the project duration (i.e. the period of funding from the EU), plus direct post-project GHG emissions for 20 years after the project end²⁶.</p>
6. Data Sources (including any issues on (i) different definitions by source, and (ii) level of availability of the data)	<p>Impact estimations should incorporate as much locally measured data as possible e.g., through existing or the updating of GHG inventories. In such case, default Values for Carbon Stocks shall be used from the 2006 IPCC Guidelines for National Greenhouse Gas Inventories. Hayama, Japan: Institute for Global Environmental Strategies, 2006.</p> <p>In the case that one of the models proposed in the present note is used, the recommended tool to be used for projects related to environment, agriculture, land use change: the Ex-Ante Carbon-balance Tool (EX-ACT), http://www.fao.org/tc/exact/ex-act-home/en/</p> <p>The recommended tool to be used for projects related to biomass combustion, use of residues (for electricity or heating): BIOGRACE II, http://www.biograce.net/app/webroot/biograce2/content/ghgcalculationtool_electricityheatingcooling/overview</p> <p>In both cases, primary data to be used is varied (e.g., total area, type of land cover, density of cover, deforestation rate, ...) and can be gathered from a variety of sources. Therefore, results reported by the project should be accompanied with the definition and description of the datasets used (for each category of data) – time series, sector breakdown, units, assumptions, uncertainties and known gaps. Such a list shall be made available at Formulation level, during the ex-ante estimation.</p>

²⁵ Annex 18. Rio Markers, page 51 [https://www.oecd.org/dac/stats/DCD-DAC\(2016\)3-ADD2-FINAL%20-ENG.pdf](https://www.oecd.org/dac/stats/DCD-DAC(2016)3-ADD2-FINAL%20-ENG.pdf)

²⁶ This corresponds to standard practice in GEF projects

	In the eventuality of some data not being readily available, surveys can be conducted by the project, alongside physical measurements and sampling activities. Resources needed to this purpose shall be also taken into account at Formulation level.
7. Data calculation (including any assumptions made)	<p>The project impact on GHG mitigation is the difference between the GHG emissions of the baseline scenario and the alternative scenario.</p> <p>Estimating GHG emission reduction impact shall be done at three points in the implementation of projects – at project document submission, mid-term during project implementation and at project completion:</p> <ul style="list-style-type: none"> - Ex-ante assessment of baseline emissions (i.e. emissions assuming the project is not implemented) and GHG mitigation impacts of a project; - Mid-project monitoring (e.g. annual updates of the baseline emissions and estimated GHG mitigation impacts); and - End-of-project update of the baseline emissions and estimated GHG mitigation impacts, terminal evaluations and other ex-post assessments. <p>The IPCC guidelines and worldwide accepted methodologies like the GHG protocol²⁷ developed by the WRI and the WBCSD should be used for:</p> <ul style="list-style-type: none"> (a) Defining the baseline; (b) Guiding the timing of the GHG emissions assessments; (c) Mapping the causal chain; (d) Assessing uncertainty; and (e) Reporting.
8. Worked examples*	<p>From the above EX-ACT website:</p> <p>Agriculture Technology and Agribusiness Advisory Services project (ATAAS)</p> <p>The main objective of the ATAAS project in Uganda is to increase agricultural productivity and the incomes of participating households (1.7 million of direct beneficiaries after five years of project implementation). The productivity should be achieved by improving the</p>

²⁷ <http://www.ghgprotocol.org/>

<p>*Examples were correct at the time of writing (Oct 2014)</p>	<p>performance of agricultural research and advisory service systems in the Republic of Uganda.</p> <p>The Global Environmental Objective is to enhance the environmental sustainability and resilience of agricultural production of land degradation and climate risks.</p> <p>The project has a total cost of US\$ 665.5 million and includes five components:</p> <ul style="list-style-type: none">- Developing Agricultural Technologies and Strengthening the National Agricultural Research System.- Enhancing Partnerships between Agricultural Research, Advisory Services, and other Stakeholders.- Strengthening the National Agricultural Advisory Services by supporting improved delivery of demand-driven and market-oriented advisory services for farmers to promote their progression from subsistence to market-orientation.- Supporting Agribusiness Services and Market Linkages to enhance the integration of smallholders in value chains by supporting collaborations between different stakeholders- Program Management. <p>The carbon balance appraisal concerns especially the first component of the project, which should directly impact climate change mitigation.</p> <p>Main outputs</p> <table><tr><th></th><th>Project scenario</th><th>Simulated scenario</th></tr><tr><td>Total carbon balance</td><td>-92 Mt eq-CO2</td><td>-60 Mt eq-CO2</td></tr><tr><td>Carbon balance/ha</td><td>-32 t eq-CO2</td><td>-22.6 t eq-CO2</td></tr><tr><td>Carbon balance/ha/year</td><td>-1.6 t eq-CO2</td><td>-1.1 t eq-CO2</td></tr></table>		Project scenario	Simulated scenario	Total carbon balance	-92 Mt eq-CO2	-60 Mt eq-CO2	Carbon balance/ha	-32 t eq-CO2	-22.6 t eq-CO2	Carbon balance/ha/year	-1.6 t eq-CO2	-1.1 t eq-CO2
	Project scenario	Simulated scenario											
Total carbon balance	-92 Mt eq-CO2	-60 Mt eq-CO2											
Carbon balance/ha	-32 t eq-CO2	-22.6 t eq-CO2											
Carbon balance/ha/year	-1.6 t eq-CO2	-1.1 t eq-CO2											
<p>9. Is it used by another organization or in the framework of international initiatives, conventions, etc? If so, which?</p>	<p>The indicator is used by GEF, UNFCCC and IPCC. Estimating GHG emissions is also common in national GHG inventories.</p>												
<p>10.Other issues</p>	<p>The Paris Agreement entered into force on 4th November 2016. It establishes a strong transparency and review system to keep track of progress within each country and collectively. It will include robust</p>												

	<p>requirements for GHG inventories and for reporting on progress both (implementing and achieving targets). NDCs includes requirements that all Parties report regularly on their emissions and on their implementation efforts. There will also be a global stocktake every 5 years to assess the collective progress towards achieving the purpose of the agreement and to inform further individual actions by Parties.</p> <p>Potential issues related to the use of national GHG Inventories include:</p> <ul style="list-style-type: none"> - Lack of sustainability in the national GHG inventory database (lack of regular updates); - Lack of consistency of the methodologies used for designing GHG inventories (including data format), within and between countries; - Lack of research/studies related to sector GHG inventories, setting reference values that are specific to country contexts; - Capacity and experience of local staff in using GHG inventories may vary from country to country. (and lack of capacity). <p>Lastly, the present note focuses on GHG emissions from agriculture, forestry and other land use. Climate change mitigation interventions that do not relate to these sectors (e.g., use of photovoltaic panels) should also use the present indicator “Greenhouse gas emissions reduced or avoided in kt CO₂ equivalent”. To this purpose, they need to propose a trustable estimate (e.g., data from manufacturers of solar PV systems, certified by a recognized organization) or a suitable calculation methodology, to be validated by the Contracting Authority.</p>
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Annex 4: Quick Situation Analysis Tool

Challenges in monitoring adaptation

As indicated in the EU Agenda for Change, any progress on poverty alleviation implies supporting adaptation efforts with a focus on building the resilience of the poor to the impacts of climate change. Indeed, climate change will particularly impact vulnerable communities and the rural poor, being the most sensitive to climate-related hazards given their reliance on fragile ecosystems and their lack of resources to withstand the adverse effects of climate-change.

However, measuring the effectiveness of adaptation projects, programmes, policies and national systems is inherently complex. The monitoring and evaluation of adaptation interventions is closely associated to methodological challenges given the uncertain, non-linear, and long-term nature of climate change. Notably, the higher outcome level and the impact level are particularly difficult to evaluate. This is why it is crucial to understand the capacity issues of what it takes to make a country or area capable of adapting to climate change, and how analysis of public systems can support climate action (see fig.1).

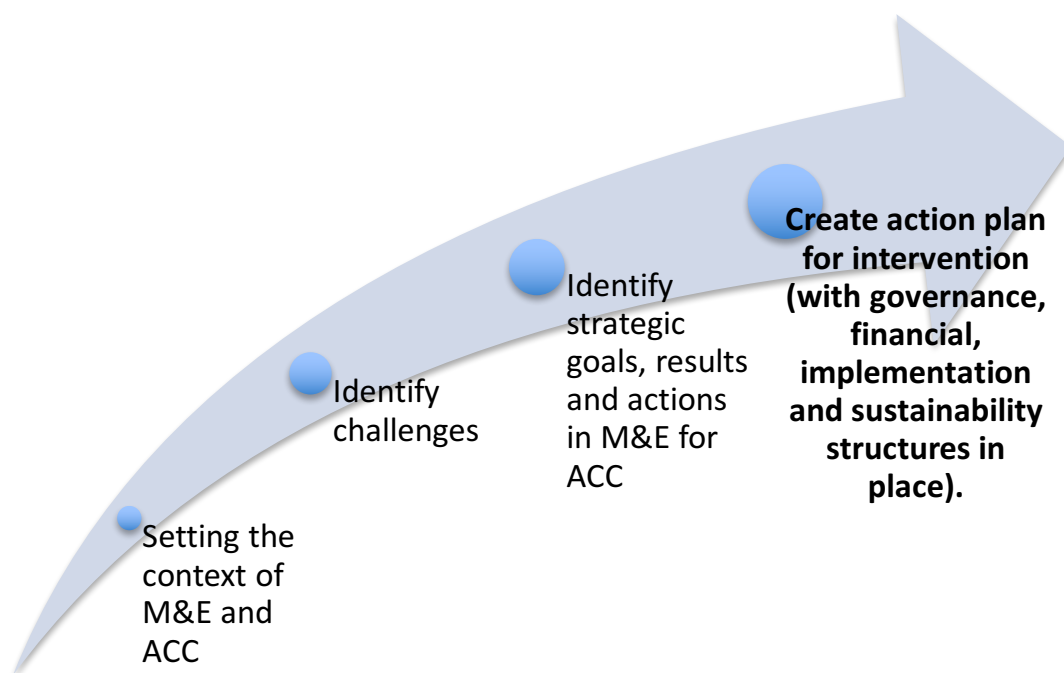


Figure 1 - The function of M&E in Adaptation to Climate Change (from Haris Sanahuja, 2011)

The monitoring of interventions linked to climate change adaptation can be characterised by the following points:

- Adaptation measures and strategies are not well suited to being

monitored/evaluated in the short-term, due to the inherent uncertainties and long timescales associated with climate change effects and impacts.

- Adaptation by nature also requires a multi-sectoral and multi-scale approach.
- As such, there is no one commonly agreed indicator for CC Adaptation at international level, even at the level of the recently determined SDG indicators.
- Despite support to institutions may be important in volume, there are difficulties to find common relevant indicator(s)
- The difficulty of attributing cause and effect²⁸:
 - As adaptation entails a range of projects, policies and programmes across sectors and levels, their effect may be difficult to distinguish from the effects of other sectoral activities.
 - If indicators are needed in order to show that a particular project, policy or programme has been cost- effective, then it will be essential to find ways to attribute measured successes to those individual actions.

The literature advises that indicators are to be used at various scales, across adaptation processes and at the objective, output and outcome levels²⁹. A good balance of indicators of process, outputs, outcomes and impact needs is requisite maintained; as well as indicators that cover the evaluative criteria of coverage, effectiveness, sustainability and replication. As the impact level focuses on the long term and mostly out of scope of projects, decision making processes in projects also need effective analysis to anticipate, manage, and ameliorate their processes.

How to have a GCCA+ tool to assess progress on climate response?

Monitoring processes are by nature more sensitive to differences in quality and the “how” of delivery, than are output or outcome indicators, and therefore better suited to decision making, notably in knowledge management, financial management, and at institutional level. A process analysis can systematically screen the tools that are at hand for GCCA+ implementing partners, allows benchmarking within and across GCCA+ projects, and could be used during the identification and evaluation phases.

This would however remain a GCCA+ Tool: such a process analysis is not aimed at producing quantified, “aggregatable” data. It would also need minimal analysis before it can be used in more global reporting systems e.g.: DG DEVCO.

Benefits of such a tool would directly complement the following EURF indicator:
“Number of countries/regions with climate change strategies (a) developed and/or (b)

²⁸ UNFCCC/SBSTA/2010

²⁹ The Organization for Economic Co-operation and Development (OECD) recommends caution in using indicators, as their application may have unintended negative side effects.

implemented with EU support”.

It is suggested to use a scaling system, across a minimum of three axes:

Institutional preparedness/organisation

This axe will look at the enabling environment, including the structures and mechanisms to ensure effective preparation, implementation and management of the public response to climate change. It aims at helping the user defining the institutions in place, and also to have a preliminary view of their functional capacity.

Technical capacity

This is a quick assessment of the general availability and capacity to use information for the planning, programming and implementing of the climate change response.

Financial resources management

How the public administration ensures that resources dedicated to climate change response are run efficiently, and in a transparent and accountable manner.

The questions have been formulated according to the following principles:

Simplicity

- Questions lead to simple answers (e.g.: Yes/No/Don't know). Respondents will have the opportunity to give additional comments.
- Most questions can be answered or checked by CC Focal Points in EUDs, as only in some cases, it may be needed to request complementary information to the Partner Country.
- An excel file summarizes the questions and generates graphs.

Incremental approach

- The sequence follows a scorecard format, from simplest stages of organisation to more advanced ones.
- The marking is incremental (each Yes = one point), allowing assessing positively any progress in the corresponding axe, without privileging specific features in relation to others.

Forward looking

- Using an incremental approach, the questionnaire itself provides food for thought for future project development.
- Indeed, it is not intended to inform on the progress of a single project. Rather, it tends to stimulate questioning on CC mainstreaming in the country context. The EUD may use this info to define or update its strategy of intervention.

- It should be noted that the additional comments made by the respondents may be as useful for future follow-up than the Y/N answers given, and should therefore remain in the tracking system.

EUDs should be informed on the limits of this tool (namely: this is a GCCA+ tool and not a DG DEVCO one. It shall be understood that the marking by EUD will be given with some degree of interpretation, the point system was designed using an expert judgment i.e.: with an inherent arbitrary component).

Institutional preparedness/organisation		Answers	Additional information (e.g., dates, institutions concerned, status of process)
Coordination mechanism			
1	Existence of a coordination group or committee for climate change, regrouping national institutions (including central and line ministries).		
2	The coordination group or committee is formally endorsed. Its planning and activity reports are easily available.		
3	Non-governmental structures (CSOs, private sector) actively contribute to the coordination mechanism.		
4	Actors at the sub-national level actively contribute to the coordination mechanism.		
Specialised climate change institutions			
5	Existence of a project dedicated to the support of Climate Change institutional coordination		

6	Existence of a formal Climate Change coordination structure (Climate Change Department, Agency, ...) embedded in public administration		
7	There is an endorsed National Implementing Entity		
8	There are endorsed National Designated Authorities		
National climate change strategy, policy or plan			
9	A National Climate Change reference document (Strategy, Plan, NAP, or NDC) is in preparation/has been submitted for approbation/has been formally approved		
10	Implementation of the National Climate Change reference plan is <30% of its budget		
11	Implementation of the National Climate Change reference plan is >30% of its budget		

12

A National Climate Change Monitoring and Evaluation system is in place and effectively collects information from public institutions involved in addressing climate change, on a regular (i.e.: yearly or less) basis and report to the UNFCCC

Climate change in national policies

13

The National Development Strategy or Plan explicitly articulates climate change objectives and activities

14

Climate change action plans are endorsed at sector level, in the following thematic areas:

Agriculture, food security or rural development

Infrastructure (please indicate: transport, water, energy)

Environment and forestry

Disaster Risk Reduction

Land management

15

There are plans to include, in the short term, climate change into sectors or industries that are currently not covered by sector policies (answer also **yes** if you have already climate change action plans endorsed at sector level in the following thematic areas, in other words: points in Q14 should be repeated here):

Agriculture, food security or rural development

Infrastructure (please indicate: transport, water, energy)

Environment and forestry

Disaster Risk Reduction

Land management

Climate Change interventions integration at the sub-national level

16

There is a strategy to address climate change issues at sub-national level (this may be included in the national climate change strategy or plan)

17

Climate change mainstreaming guidelines for sub-national level administrations are available

18

Level of implementation of the Local Adaptation Plans (LAPs):

LAPs or their equivalent are at preparation stage, or implemented in less than 5 entities at sub-national level (District or Province)

LAPs are being implemented in at least 5 entities at sub-national level, and are at <50% expenditure of their total budget

LAPs are being implemented in at least 5 entities at sub-national level, and are at >50% expenditure of their total budget

Technical capacity		Answers	Additional information (e.g., dates, institutions concerned, status of process)
Climate risk and vulnerability assessments			
1	A National climate risk and/or vulnerability assessment is available, including data on the current and estimated impact of CC on the population and vulnerable groups		
2	Climate risk and/or vulnerability assessment are available at sub-national level, covering the most vulnerable districts		
3	Available assessments were performed in a coordinated way: they use compatible methodologies, and present complementary information		
4	There are available climate vulnerability assessments for the following sectors:		
	Agriculture, Food security, Land management		
	Infrastructure, energy		
	Water		
	Environment and forestry		

Disaster Risk Reduction

Ease of access and use of available climate change information and technical knowledge

5

There is an easy and public access to information related to the national response to climate change (e.g., what is the policy and the institutional framework for climate change response, what are the major activities being implemented. As an example, this can be done through a website.)

6

There is an easy and public access to information related to risk and vulnerability assessments including climate data, risks, studies, M&E system, identified best practices, evaluations (e.g., through a Knowledge Management Information System)

7

CC information within line ministries and thematic agencies is systematically shared among public institutions at national and sub-national level (e.g.: through the CC coordination group, or a website)

8

CC information available at Donor level is easily available to all stakeholders (e.g.: through the CC coordination group, or a website)

9

There is regular production and dissemination of information on the implementation of the national climate change reference strategy or plan

10

Awareness raising campaigns are organised to the wider public, on the issues, immediate risks and recommendations related to climate change and extreme climate events (e.g., through press, radio, TV, SMS)

11

Climate change-relevant information is included in key reference practical manuals in the following sectors:

Agriculture (e.g.: rural extension material)

Infrastructure, water, energy (e.g.: construction standards)

Environment, forestry (e.g.: MRV guidelines for mitigation)

Disaster Risk Reduction

Capacity building activities

12

The National Development Strategy or Plan explicitly articulates climate change objectives and activities,

...in the following sectors:

Agriculture, Food
security/Rural development

Infrastructure, energy

Water

Environment and forestry

DRR

Land management

13

...at sub-national level:

As a pilot project, or through
uncoordinated initiatives, e.g.:
in only a few entities at sub-
national level (District or
Province)

in most areas identified as
most vulnerable to climate
change

it is integrated in most entities
at sub-national level (District
or Province)

14

Capacity building activities are duly incorporated into CC
interventions, in a coherent or coordinated way (e.g.: by
following a global capacity building guidelines or plan, or by
involving a national ToT institution that is consistent in its
delivery, or by involving the CC coordinating structure to
regularly review and adjust capacity building contents)

15

There is evidence that addressing these capacity development needs facilitated...

... the development and management of CC interventions by the stakeholders

... the mainstreaming of CC in key developments plans and processes

Financial resources management		Answers	Additional information (e.g., dates, institutions concerned, status of process)
Financial resources management			
1	There is access to a wide variety of climate change funding schemes, at national level		
2	Climate investments are supported by cost/benefits assessments, (e.g., costing of energy efficiency measures)		
3	The amounts of climate related expenditures and investments are regularly (i.e.: at least yearly) reviewed for the following sources:		
	External resources (ODA)		
	In the national budget (use of classifiers / tagging, other methodologies...)		
	Non-ODA extra-budgetary resources (private, NGO)		
	% of CC funds implemented through the sub-national level		

4

At least some Climate Change activities are explicitly funded through Budget Support

5

Key MEF staff is regularly trained on climate responsive planning and budgeting

6

Guidance on climate change is included in the guidelines to prepare the yearly budget or their equivalent

7

A plan to access the resources of the Green Climate Fund has been prepared and is being implemented

Annex 5 - GCCA+ M&E Portal Draft Concept Note

GCCA+ M&E PORTAL **CONCEPT NOTE**

June 20, 2016

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Introduction

To deliver against the 'Agenda for Change' commitment to strengthen the Commission's ability to monitor and report operational results achieved through the implementation of EU funded development and cooperation projects and programmes, the EU Commission initiated various processes for the operationalization of an overall EU development and cooperation results framework (hereafter EURF).

In September 2015, the Commission's Directorate-General for International Cooperation and Development (DG DEVCO) C6 unit on Sustainable Energy and Climate Change (hereafter DEVCO-C6) asked the Support Facility to develop a results framework that should be in coherence with the EURF and meet the two purposes for M&E described in its GCCA+ concept note section 11 "Tighter Results-based Monitoring and Evaluation":

- to guide decisions during an intervention and as an early warning mechanism for corrective actions; and
- to measure the results and impacts of completed actions.

In order to achieve the two purposes given above, the GCCA+ Support Facility (hereafter known as SF), in consultation with DEVCO-C6, developed the GCCA+ M&E results framework (hereafter GCCA+ RF), to inform on (1) its contribution to the overall objectives of the EU international cooperation and development assistance, (2) the results of the GCCA+ programmes in partner countries, (3) the performance of the SF work against indicators.

Associated to this GCCA+ RF, the SF also introduced the idea of using a dashboard as a way to manage any data produced during the course of the programme via the implementation of the GCCA+ RF. In the context of the recent evolution in data collection and communication tools, it was further proposed that this dashboard makes use of up to date technology and be developed as an Open Data Portal as they are known when dealing with M&E to:

- facilitate access, basic analysis (percentage of completion, graphs, etc.), archive and retrieval of the information generated;
- contribute to the overall transparency and accountability of the GCCA+; and
- report to Member States on the overall performance against indicators of the programme.

This document presents what could be the advantages and key features of such GCCA+ M&E Portal.

Advantages of Open Data Portals

Open data portals in general enable a programme, such as GCCA+, to communicate on its performance with remarkable speed and at lower costs over the long term.

Open data portals also simplify the encoding, access and basic analysis of data, whilst also

facilitating the publishing, distribution and use of information generated. Thus, an Open data portal also increases the potential for more and more data-informed decisions and informed stakeholders.

Finally, a M&E Portal focused, on a “limited number of key indicators that are aligned more closely with GCCA+ objectives and provide quantifiable results” would enable all stakeholders to access the GCCA+ M&E data.

Indeed, as noted by the European Commission in its digital Agenda for Europe, the use of such portals by administrations obliged or willing to disseminate their data, provides public access without a need to reply to individual requests for data access.

Thus, contributing to the communication and knowledge management efforts of the programme, open data portals support not only the publishing of this information but also the consumption of it by a variety of users.

Key Features of Open Data Portals

Open data portals are developed around a software and cloud storage system. In other words, they are web-based interfaces designed to make it easier to find re-usable information. Indeed, they contain metadata records of datasets published in ways that facilitate access and re-use, often via specific search functions.

Contrary to an e-library, these datasets mostly contain information in the form of raw, numerical data and do not have many textual documents, but rather dashboard(s) with initial/basic short descriptions, and tabs providing clear data measurements and current status of defined indicators (see Figure 1).

Nowadays, open data portals are key to any open data initiatives in relation to achieving better transparency. Thus, to meet the requirements of wider audiences and to achieve better transparency, users (mainly public administrations, see below) also pay more and more attention to the presentation of such data, making the layout of such tool a key feature of its development.

Examples of Key Current Users of Open Data Portals

The primary users of open data portals are large public administrations manipulating a substantial amount of data. The European Union is one such administration with its [EU Open Data Portal](#). Echoing the advantages mentioned in Section 2 above, this portal is the single point of access to a wide range of data held by EU institutions, agencies and other bodies and constitutes a key element of the EU’s open data strategy.

Other notable examples of open data portals maintained by public administrations in Europe are:

opendata.paris.fr

www.data.gouv.fr

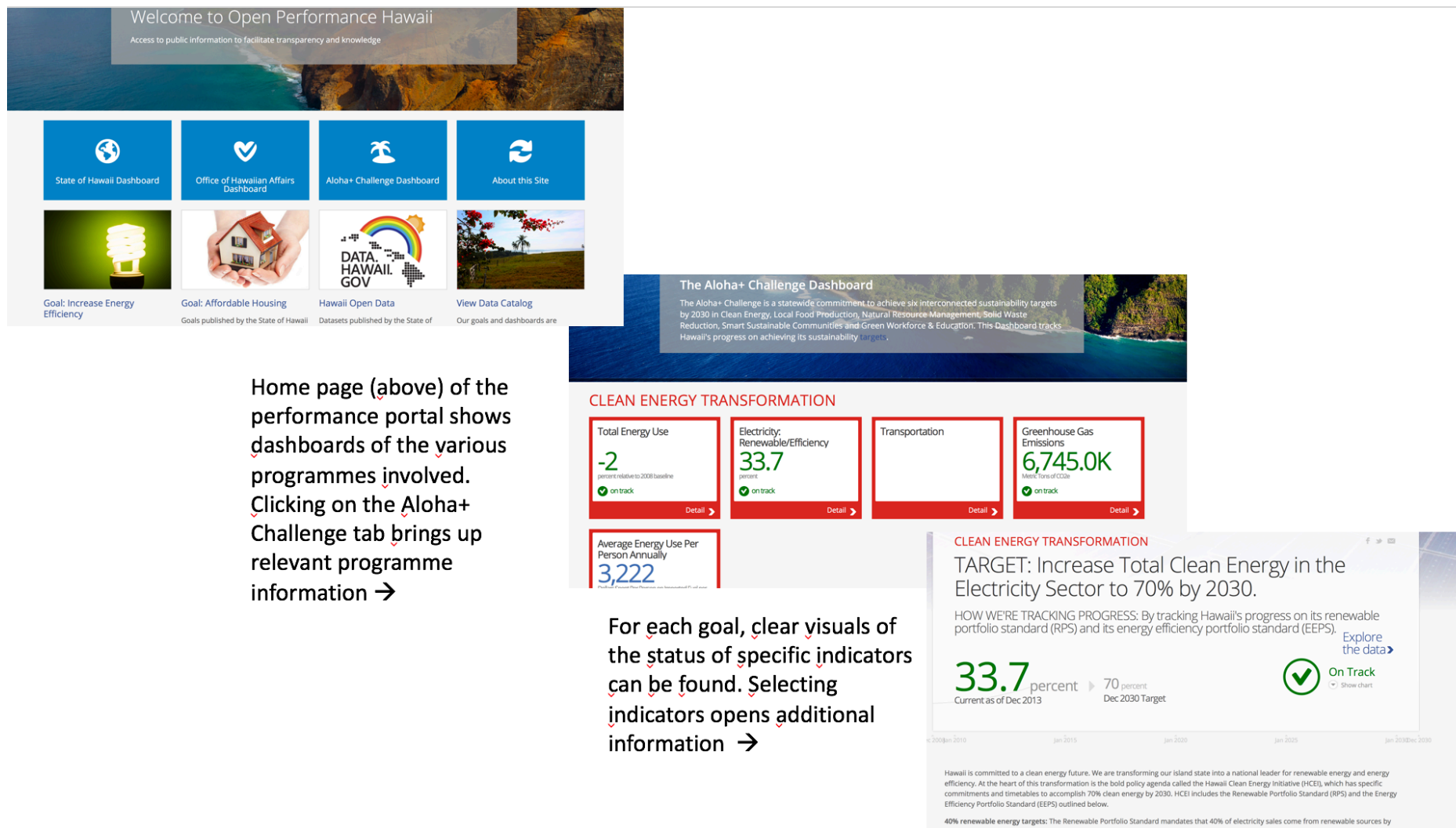
www.dati.piemonte.it

www.dati.gov.it

www.data.overheid.nl

data.gov.uk

Figure 1 – Sample of an Open Data Portal



However, in the context of the big data revolution (more and more voluminous digital data making traditional data processing applications inadequate), more and more companies and other institutions (non-profit, universities, etc.) are opening their data to public using these types of portals. The following are some examples of key well-known portals:

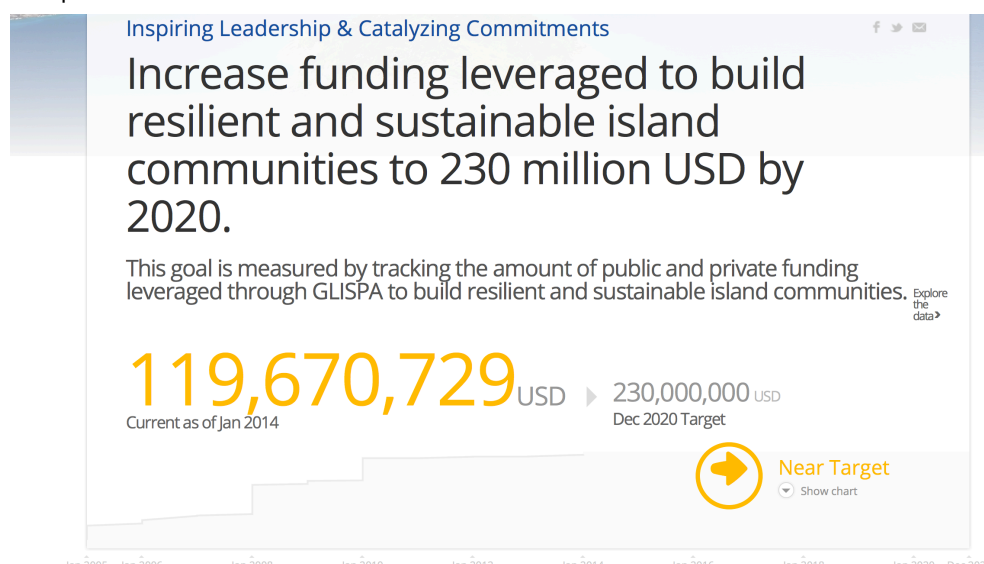
- [World Bank](#)
- [GapMinder](#)
- [United Nations](#)
- [American university](#)

Simpler and more specific Open M&E Portals, such as the one that could be developed for the GCCA+ M&E, can also be consulted online. [The Global Island Partnership Performance Portal](#), partner of the European Union is one such portal, where single tabs show a quick overview of each selected indicator status for a given goal/result as well as access to more detailed information (see Figures 1 & 2).

Figure 2 – Sample of an Open M&E Portal

The dashboard has tabs for each indicator with clear data and current status (on track, near target, etc.) as well as access to detailed charts, graphics or other options





Things to consider for the development of GCCA+ M&E Open Data Portal

Technical specifications

The word “portal” is key in the sense that depending on the complexity of an M&E framework and programme, the data can be appear in one or several dashboards each of them leading to a set of indicators (see figure 1 above). For example, in the case of the GCCA+, each level identified in the GCCA+ RF could be the subject of one dashboard, but developers might suggest other ways to structure the GCCA+ M&E open data portal in relation to the various features developed in the GCCA+ RF.

A list of key aspects of the GCCA+ Results Dashboards Portal that should be defined with developers should include:

- Usage limits:
 - o Number of dashboards
 - o Number of results/goals/indicators
 - o Number of datasets³⁰
 - o Number of reports: unlimited
 - o Number of visualisation of data: unlimited
 - o Number of users: unlimited
- Management of the tool (data provider/collection; who is entering what data; who manages the data over the long term; etc.)
- Development and recurrent costs
- Needs for on site and remote support for the development
- Support requirements

³⁰ Dataset: A collection of related sets of information that is composed of separate elements but can be manipulated as a unit by a computer.

- Needs for training and guidelines
- Data storage
- Number of languages

Two approaches are possible for the elaboration of the technical specifications for such a portal. Both probably involve the use of a short-term expert:

- Option 1 - General specifications: focused on the general aspects of what the portal should achieve/allow for. The above mentioned data (and others) would be listed as features to be agreed on as part of initial phase/assessment by the developer.
- Option 2 - Detailed specifications: Already have all these features and others defined in the technical specifications.

Given the iterative and highly technical nature of the development of such portal, the Support Facility would advise to remain general in the specifications (Option 1) and rather

emphasise the consultation/assessment phase and planning of different development phases.

The short-term expert used to develop the technical specifications should also be asked to identify the minimum required number of potential developers that procurement procedures would require.

DG DEVCO EU Result Framework

As part of the EU Results Framework, processes concerning the rationalisation and development of data collection system and tools are being undertaken³¹. Such tools might already provide what the GCCA+ M&E open portal might want to offer (accessibility of data to stakeholders and the general public).

Should it be decided that it would not be redundant and indeed necessary, the development of such a portal should also ensure that interoperability is achieved between the different tools/systems.

European Union Data Management Policy

The nature of the information to be published, and the level of detail for each type of information, would then be discussed with DG DEVCO. Typically, it may include technical information (activities done, per type of outputs e.g. trainings done, trees planted, etc.), adaptation or mitigation related results (number of beneficiaries, Tons of CO2 sequestered, etc.), and figures on the amounts invested (per project, per category of projects, ...). Note these examples were chosen for illustration purposes only.

A decision would certainly have to be taken at some levels for the development of such a tool as it would have to meet specific requirements with regards to EU regulations and policies with regards to data management.

The DEVCO-C6 unit should ensure that such decisions are made before going further into the development of such a tool.

³¹ ["Paving the way for an EU Development and Cooperation Results Framework"](#) (2013)