

Towards a Diagnostic Tool for Assessing the Monitoring and Evaluation System of Climate Change Programs

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LIST OF ACRONYMS

Adaptive, dynamic, active, participatory and thorough	ADAPT
Business-as-usual (BAU)	BAU
Biennial Update Reports	BUR
Caribbean Community	CARICOM
Climate Change	CC
Climate Change Adaptation	CCA
Center for Clean Air Policy	CCAP
Caribbean Community Climate Change Centre	CCCCC
Climate Change Mitigation	CCM
Comprehensive Development Framework	CDF
Clean Development Mechanism	CDM
Conference of Parties	COP
Community of Practice	CoP
Clear, Relevant, Economic, Adequate, Monitorable	CREAM
Designated Operational Entity	DEO
The United Nations Economic and Social Council	ECOSOC
Expert Review Teams	ERTs
Global Environment Facility Independent Evaluation Office	GEF IEO
Greenhouse Gases	GHG
International Assessment Review	IAR
International Consultation and Analysis	ICA
Institute for Development in Economics and Administration	IDEA
International Institute for Environment and Development	IIED
Implementation Plan	IP
Intergovernmental Panel on Climate Change	IPCC
International Program for Development Evaluation Training	IPDET
Joint Implementation	JI
Kyoto Protocol	KP
Low-Carbon Development Strategies	LCDs
Monitoring and Evaluation	M&E
Monitoring and Evaluation Instrument	MEI
Measurable, Reportable and Verifiable	MRV
Member States	MS
Nationally Appropriate Mitigation Actions	NAMA
National Communication	NC
Organization for Economic Cooperation and Development	OECD
Organization for Economic Cooperation and Development Development Assistance Committee	OECD/DAC
Quantified Emissions Limitation and Reduction Objectives	QELROs
Reducing Emissions from Deforestation and Forest Degradation	REDD plus (+)
Specific, measurable/meaningful, assignable/attainable, realistic and timerelated	SMART
Subjective, Participatory, Interpreted, Cross-checked, Empowering, Diverse	SPICED
Joint United Nations Programme on HIV/AIDS	UNAIDS
United Nations Development Programme	UNDP
United Nations Framework Convention on Climate Change	UNFCCC
United Nations Population Fund	UNFPA
United States Agency for International Development	USAID
Women's Environment and Development Organisation	WEDO
World Resources Institute	WRI

ABSTRACT

This paper¹ contributes to the dialogue on monitoring and evaluating climate change programs by examining the existing literature as it pertains to the core requirements of a generic M&E system and highlighting the nuances for monitoring and evaluating climate change programs. The nuances are examined in the context of the two pillars of climate change, that is, mitigation and adaptation. Areas of convergence and departures for monitoring and evaluation between mitigation and adaptation as well as these two areas and a generic M&E system for a development program are noted in the paper. The research culminates in a checklist of questions (diagnostic tool) that are instructive when assessing or even designing an M&E system for climate change programs. The diagnostic tool is known to be the first of its kind for the climate change field and to promote adequate validation it was tested in the field. The Caribbean Community Climate Change Centre (CCCCC), which is based in Belize, coordinates a Regional Framework for Achieving Development Resilient to Climate Change in the Caribbean 2009-2015, its supporting Implementation Plan (IP) (2011-2021) and a regional Monitoring and Evaluation Instrument (MEI) (CCCCC, 2012). The application of the diagnostic tool to the MEI also highlighted changes required to enhance the functionality and sustainability of the MEI.

[1] This paper draws upon the MA dissertation 'Diagnosing Monitoring and Evaluation Systems for Climate Change Programs – Case Study of the Caribbean's Climate Change Program' elaborated by S. Rahat under the supervision of N. Holvoet.

1. INTRODUCTION: CONTEXT AND RATIONALE

The role of monitoring and evaluation (M&E) systems in development is strongly supported by aid effectiveness frameworks such as the Paris Declaration (2005), the Accra Agenda for Action (2008) and the Busan Partnership for Effective Development Cooperation (2011), all of which explicitly place emphasis on management for development results as a conduit for enhancing aid effectiveness. The Paris Declaration urges developing states that are recipients of aid to strengthen their capacities for evidenced-based reporting to be able to improve decision-making and for donors to support the strengthening of national reporting capacities and systems, which they must in turn utilize (OECD, 2011a). In essence, there is a push for greater capacity building and ownership of national M&E systems; for which, a critical first step is to understand the existing status of the national M&E system so that donors, in fulfilling their obligation under the Paris Declaration, can strategically support capacity building in M&E where it is required.

Within the development agenda, climate change (CC) is surely top priority for many governments and international organizations (Ban Ki-moon, 2014) since the effects of climate variability and change are already a reality (McGray et al. in Prowse and Snilstveit, 2010 and Harley et al., 2008). As a result, there are growing pressures to adapt and mitigate now, which makes it paramount that climate change adaptation and mitigation programs be effective and cost efficient given the limited financial resources (OECD, 2011b). Notable is that the global community has responded to the urgent call to mitigate and adapt to climate variability and change through the establishment of more than ten international multilateral climate-financing mechanisms (Nakhoda and Norman, 2014). Further, the recently endorsed Paris Agreement coming out of the twenty-first meeting of the Conference of Parties of the United Nations Framework Convention on Climate Change (UNFCCC) reiterates the need for continued climate finance channeled to developing countries in the amount of one hundred billion US dollars per year, until 2025, and the requirement to have a common transparency and reporting framework in place (OECD DAC, 2016). A recent review of the effectiveness of climate funds has indicated that “improved measurement, reporting and understanding of impact is essential, and can help build the case for continued and increased contributions of climate finance” (Nakhoda and Norman, 2014: 1). Again, a critical first step is to have sound understanding of the status of the national M&E system; that is, what are the strengths and weaknesses (gaps), so that steps for improvements can be identified; all of which can only be achieved through a diagnostic exercise (Mackay, 2007; Lopez-Acevedo, 2012).

Periodically, the quality of national M&E systems is evaluated through the assessment of progress in implementing the Paris Declaration and the World Bank’s Comprehensive Development Framework (CDF). Collectively, these independent databases tangentially assess the key factors related to having a functional and comprehensive M&E system (Holvoet et al., 2012). There are a few comprehensive diagnostic tools available for assessing national M&E systems (see OECD/DAC, 2006; Holvoet et al., 2012; UNAIDS, 2009), but based on literature reviewed, there is no known framework for assessing the quality of M&E systems for CC programs. It is known that the underlying principles of M&E are applicable to the CC field; but there are challenges that are unique to the CC field that have to be taken on board for M&E of CC programs to be effective (Sanahuja, 2011; Bours et al., 2014; Villanueva, 2011). Firstly, CC has two broad dimensions, climate change mitigation (CCM) and climate change adaptation (CCA), both of which have different and unprecedented challenges for M&E (Bours et al., 2014). CCM relates to the reduction in GHG in the atmosphere (IPCC, 2007), and measuring the effectiveness of in-

interventions is based on models of future business-as-usual scenarios that can become complex or it can easily lead to under or over estimation of effectiveness (Wörten, 2013). CCA relates to measures put in place to cope with on-going climate variability and projected climate change (IPCC, 2007). The primary challenge for M&E is that the true impact of the CCA interventions can only be meaningfully evaluated until the climate hazard it is designed to address, has occurred (Bours et al., 2013). Further, it should be cautioned that the extent of impact of climate variability, climate change and other natural hazard events on the lives of people is heterogeneous in nature – inequality and marginalization arising from issues related to gender etc. have a role to play (Olsson et al 2014; Leichenko and Silva, 2014) and so the level of effectiveness and impact of an intervention can vary based on gender.

Recognition of the foregoing M&E challenges for CC programs has resulted in a number of international organisations and dedicated climate funds outlining M&E guidelines and/or frameworks (Dinshaw, 2014), some of which are specific to CCA or CCM. Therefore, it is logical that a diagnostic tool specific for assessing the M&E systems of CC programs be developed so as to ensure that their unique M&E practices are upheld. In this regard, this research paper sets out to define a suitable and gender-sensitive diagnostic tool to assess the quality of M&E systems of climate change program.

To better understand the ‘unique considerations’ of M&E systems for climate change programs, the first section of this paper commences with an exploration of the fundamental requirements of a generic M&E system for development programs and best practices for monitoring and evaluating CCA and CCM programs. The next section examines the relevance of gender considerations for CC programs for inclusion in the diagnostic tool as appropriate. The penultimate section of the paper presents the diagnostic tool, inclusive of refinements undertaken based on field work application of the draft tool. The final section provides conclusions and recommendations.

2. METHODOLOGY

The development of the diagnostic tool was based primarily on secondary data sources and focused mostly on current principles, guidelines, frameworks and approaches used for the development of generic, CCA, and CCM M&E systems. Firstly, the core dimensions of a generic M&E system were reviewed to gain insight into the foundational requirements for an M&E systems for development programs so as to identify the key ingredients that should be present in the diagnostic tool and to elucidate the areas of departure for monitoring and evaluating CC programs. Thereafter, the most up to date M&E frameworks for CCA and CCM were reviewed to identify their unique considerations for inclusion in the diagnostic tool. Whilst M&E for CC is still evolving, there was quite a bit of documentation available to provide insight into the status of M&E approaches and best practices used for CCA and CCM: Climate-Eval² and SEA Change³ are two notable online forums specializing in M&E for CC that initiate research and serve as clearing-houses for information on M&E for CC.

Literature pertaining to gender considerations for CC programs was also reviewed

[2] “[...] an online community of practice hosted by the Global Environment Facility Independent Evaluation Office (GEF IEO) in Washington, DC. Its overarching goal is to establish standards and norms, support capacity development, and share good practices in evaluations of climate change and development and –most recently- natural resource management” (Climate-Eval, n.d.:1).

[3] “[...] a maturing virtual Community of Practice (CoP) focused on the monitoring and evaluation of climate change interventions in Asia, and beyond” (SEA Change, 2013:1).

for inclusion in the diagnostic tool, as appropriate. Overall, more than 20 sources were reviewed (see reference) to ensure that the diagnostic tool is premised on state-of-the-art practices; in essence, the diagnostic tool is intended to function as a tool that promotes best practices for monitoring and evaluating CC programs.

A primary challenge with this research is that the M&E landscape is constantly evolving due to the need to be more effective and efficient in measuring developmental results. For the climate change field, the need for innovation and re-thinking of M&E approaches becomes even more critical given the unique challenges of monitoring and evaluating CCA and CCM (Villanueva, 2011). The literature suggests that M&E for CCA is still in its developmental stages (Van der Berg and Spearman in Villanueva, 2011); however, with the launch of several forums such as Climate-Eval and SEA Change, which are dedicated towards promoting M&E for CC, it is envisaged that significant research and time will be invested in enhancing M&E practices for CC. Hence, the diagnostic tool is confined to the best practices documented and promoted to date and will therefore require revision and updating over time to maintain relevance and utility.

With information garnered from existing literature, a diagnostic tool was drafted and then tested in the field to determine the ‘grading feasibility’ of the diagnostic questions. Field work application allowed for the examination of the clarity, scope and relevance of the questions. The overall manageability of the tool was also able to be tested. The case study was the Caribbean Community Climate Change Centre (CCCCC) which is based in Belize, Central America and serves the 15 member states⁴ (MS) of the Caribbean Community (CARICOM⁵). The Centre coordinates a Regional Framework for Achieving Development Resilient to Climate Change in the Caribbean 2009-2015⁶, its supporting Implementation Plan (IP) (2011-2021) and a regional Monitoring and Evaluation Instrument (MEI) (CCCCC, 2012). The application of the diagnostic tool to the MEI yield two notable outcomes: it highlighted changes required to enhance the functionality and sustainability of the MEI (see Rahat, 2015) and provided insights into enhancements needed to the diagnostic tool based on the field work experience. Details on the enhancements made to the diagnostic tool are detailed in **Appendix II** of this paper. The main drawback to testing the diagnostic tool was that the Caribbean gives low priority to M&E for CCM given that they are overall negligible emitters of GHG and investments in alternative energy is primarily for economic benefits, not to reduce emissions. This resulted in the CCM related questions of the diagnostic tool not being adequately tested. Further, the regional nature of the MEI required rethinking of the M&E needs and requirements at the supranational level in the context of the dimensions of the diagnostic tool. It was found that the questions of the verification dimension were not relevant to the case study.

[4] Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Haiti, Jamaica, Grenada, Guyana, Montserrat, St. Lucia, Suriname, St. Kitts and Nevis, St. Vincent and the Grenadines, and Trinidad and Tobago.

[5] The Treaty of Chaguaramas established the CARICOM in 1973 to promote regional integration across the 15 member states in the Caribbean that signed this treaty (CARICOM, n.d.)

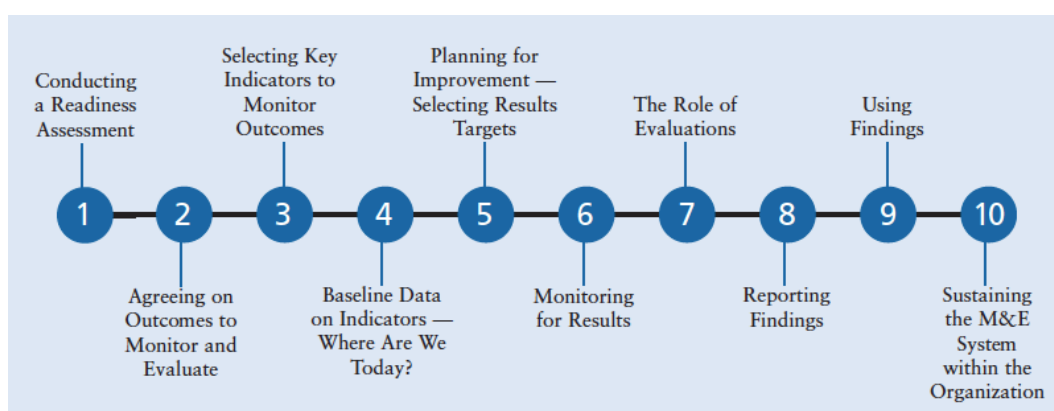
[6] Outlines the Caribbean’s strategy to adapt to and mitigate CC and it contains five strategic elements (SE), and twenty goals.

3. LITERATURE REVIEW

3.1. Core dimensions of a generic M&E system

One of the most popular frameworks for a results-based M&E system is the Kusek and Rist (2004) ten-step approach as illustrated in Figure 1, which was prioritized for identifying the core dimensions of the diagnostic tool given that most of the literature reviewed recognized this framework as the foundation for designing and building an M&E system. Further, it is included in many reputable M&E training programs such as the International Program for Development Evaluation Training (IPDET), the Institute for Development in Economics and Administration (IDEA) International and the University of Antwerp Master in Development Evaluation and Management. The 10-step approach as detailed in Figure 1 posits a logical sequence of activities to be undertaken when designing and developing a generic M&E system (Görgens and Kusek, 2009; Kusek and Rist, 2004).

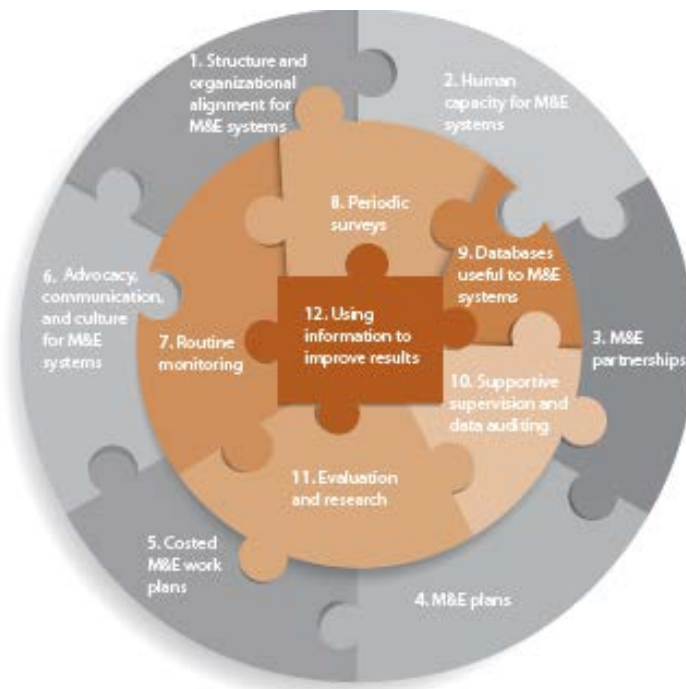
Figure 1: The Ten Steps to Designing, Building and Sustaining a Results-Based Monitoring and Evaluation System



Source: Adopted from Kusek and Rist, 2004:25

Some elements of the '12 components of a functional M&E system' by Görgens and Kusek (2009) (see Figure 2) are also considered desirable for the core dimensions of an M&E diagnostic tool, since this model addresses the nuts and bolts to sustain an optimal M&E system.

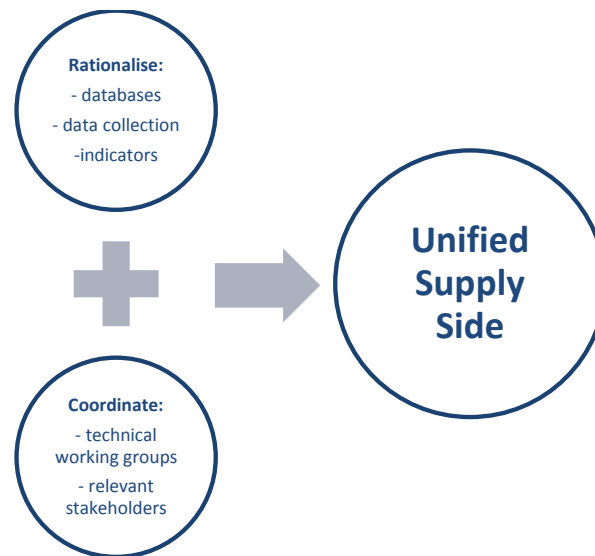
Figure 2: The 12 Components of a functional M&E system



Source: Adopted from Görgens and Kusek, 2009:8

Following Figure 1, the first step, **readiness assessment**, examines the status of the M&E **demand and the supply side factors** (Kusek and Rist, 2004; Mackay, 2007). The demand side focuses on who are the users of M&E information, what are their needs for decision-making and the extent to which they use the M&E information; whilst the supply side is concerned with the mechanisms/processes in place to effectively provide timely and reliable M&E information to users (Bedi et al., 2006; Lopez-Acevedo et al., 2012). Bedi et al. (2006) goes on to explain that consolidating the supply side to achieve a '**unified M&E system**' is particularly important for development programs that have multiple supply side actors since it will reduce duplication of efforts, enhance information flows and promote standardization of data. A unified system can be achieved by **rationalizing** the existing M&E activities, databases, indicators etc. so that suppliers of information do not duplicate work (Bedi et al., 2006). **Coordination** includes mechanisms to promote inclusiveness of key stakeholders and can be promoted through the establishment of appropriate institutional arrangements, which should include a secretariat or coordination unit and technical working groups comprising relevant stakeholders such as line ministries, local government, civil society and statistics office (Bedi et al., 2006). **Building and organizing partnerships** with donors, research institutions, lobby groups and other members of civil society should also be promoted since they serve as suppliers and/or users of M&E information (Bedi et al., 2006; Görgens and Kusek, 2009). Further, engaging donors is essential to ensure that the M&E system reflects their needs, which will promote donors' alignment with and use of national M&E systems thereby promoting the aid effectiveness agenda (Bedi et al., 2006; OECD/DAC, 1991) and the same could be argued for engaging the other critical stakeholders. See Figure 3 for the inter-relationship of the elements to build a unified supply side.

Figure 3: Key elements to strengthen supply side



Source: First Author

Step two of the Kusek and Rist (2004) framework advocates for the **agreement on outcomes** that are linked to national development agendas and are the result of a consultative process so as to build ownership, buy-in and awareness (Kusek and Rist, 2004). Outcomes should be clearly and explicitly stated since **indicators, baselines and targets** (stages three, four and five) are related to and/or deduced from the outcomes. Notable is that indicators should be developed following a framework or criteria that allow it to be suitable for tracking the intended result (Kusek and Rist, 2004). Further, a key feature of developing indicators is having in place an '**indicator protocol**', which is a detailed definition of the indicator such as its purpose, rationale, method of measurement, data collection method and frequency, disaggregation etc. and it should be included in the M&E Plan (Görgens and Kusek, 2009).

It is also important for **databases** to be in place to house the data pertaining to indicators and the scope of the database should be guided by the evaluation questions identified in the M&E plans, as well as routine monitoring data such as program finances and activities (Görgens and Kusek, 2009). An important aspect of data management is that the **quality of the data** is safeguarded through the implementation of guidelines/protocols and standards. Having high quality information enhances the use of it (Mackay, 2006; Görgens and Kusek, 2009; Lopez-Acevedo et al., 2012). Lopez-Acevedo et al (2012) argue that the quality of the information coming out of an M&E system is positively correlated to the sustainability of the system. The 'quality' of data is generally judged on seven dimensions as detailed in Table 1 below.

Table 1: Dimensions of Data Quality

Dimension of Data Quality	Operational Definition
Accuracy	Also known as validity. Accurate data are considered correct: the data measure what they are intended to measure. Accurate data minimize errors e.g., recording or interviewer bias, transcription error, sampling error) to a point of being negligible
Reliability	The data generated by a program's information system are based on protocols and procedures that do not change according to who is using them and when or how often they are used. The data are reliable because they are measured and collected consistently.
Precision	This means that the data have sufficient detail. For example, an indicator requires the number of individuals who receive HIV counseling & testing and received their tests results, by sex of the individual. An information system lacks precision if it is not designed to record the sex of the individual who received counseling and testing.
Completeness	Completeness means that an information system from which the results are derived is appropriately inclusive: it represents the complete list of eligible persons or units and not just a fraction of the list.
Timeliness	Data are timely when they are up-to-date (current) and when the information is available on time. Timeliness is affected by: (1) the rate at which the program's information system is updated; (2) the rate of change of actual program activities; and (3) when the information is actually used or required.
Integrity	Data have integrity when the system used to generate them is protected from deliberate bias or manipulation for political or personal reasons.
Confidentiality	Confidentiality means that clients are assured that their data will be maintained according to national and/or international standards for data. This means that personal data are not disclosed inappropriately, and that data in hard copy and electronic form are treated with appropriate levels of security (e.g. kept in locked cabinets and in password protected files).

Source: Adopted from USAID, 2008: 10

Stage six and seven are focused on monitoring and evaluation, respectively. Monitoring requires that **M&E plans/guidelines** be in place to provide guidance on data treatment (collection, analysis, reporting, quality control, dissemination and transparency) and assignment of roles and responsibilities (Kusek and Rist, 2004). Görgens and Kusek (2009) further expanded that for national M&E systems, it is important that agencies contributing to the overall system have linkages between their organization's M&E plan and the national M&E plan. A key dimension to bring life and sustainability to the M&E system is to have a supporting **costed M&E work-plan** to accurately define time, human and financial resources needed (Görgens and Kusek, 2009). Further, the M&E system needs **dedicated funding** and "the recommended level is 7-10% of program funding" (Görgens and Kusek, 2009: 231).

Stage seven on evaluation specifically promotes the **use of various types of evaluations** so that they can adequately answer the questions of the evaluation exercise and be able to amply inform decision-making (Kusek and Rist, 2004). More detailed guidance on the 'E' in M&E is provided by OECD/DAC (1991), which explicitly indicates the need for an **evaluation policy and guidelines** as well as upholding **independence and impartiality** in the evaluation process to promote credibility and use of the findings.

Stage eight and nine supports the sustainability of the **demand side**. Stage eight advocates for **adequate analysis and sharing of M&E information (dissemination)** in the appropriate format to reach the intended users within suitable timeframes (who, what, how and when) (Kusek and Rist, 2004; OECD/DAC, 1991). Using the most appropriate **methodology** for the collection and analysis of M&E information is important for promoting accuracy (see Table 1): the best suited methodology will obtain accurate data that measures what is intended to be measured.

Stage nine places importance on the **use of timely M&E information** to support decision-making. Use of M&E information is considered the epicenter of the M&E system (Kusek and Rist, 2004; Mackay, 2007; Bedi et al., 2006) given that:

“Low levels of demand for monitoring information also tend to impact on the supply of adequate information. If the results of monitoring are not sought out and used by policy makers and public sector managers, then monitoring comes to be seen merely as a bureaucratic burden, and compliance with monitoring procedures deteriorates” (Bedi et al., 2006: xx).

Evidence of use of M&E information manifests in various ways that should be kept in mind for the diagnostic exercise: adoption/implementation of recommendations, changes in budget/resource allocations, adjustments to programs and/or policy design, adjustment in institutional management practices (Lopez-Acevedo et al., 2012). Coincidentally, these are also the mechanisms that provide incentives for building and sustaining M&E systems; that is, embedding the M&E system within the public policy cycle, national budgeting process and/or performance appraisals of ministries, departments and agencies, promotes demand for and use of M&E information (Lopez-Acevedo et al., 2012; Mackay, 2007). Further, in an effort to promote use of M&E information it is useful to have backstopping through **advocacy for and communication about M&E** (Mackay, 2007). This is critical for building an M&E culture that is conducive for the M&E system (Görgens and Kusek, 2009; Bedi et al., 2006).

“M&E culture [is a] shared set of values, conventions, or social practices about M&E. A positive M&E culture is where M&E is accepted, welcomed, encouraged and valued by all members of the team as an essential part of achieving implementation success” (Görgens and Kusek, 2009: 228).

An important precursor activity is the identification of **M&E champions and counter-reformers (resistors)** since strategies to leverage champions and promote buy-in from resistors must be addressed and prioritized in the advocacy and communication plan. Champions located in senior positions in government such as the President’s office, the Ministry of finance or planning, or sector ministries are integral to the sustainability of the M&E system (Mackay, 2007; Bedi et al., 2006; Lopez-Acevedo et al., 2012) since they can advocate for M&E and manage the counter reformers within the internal system (Kusek and Rist, 2004).

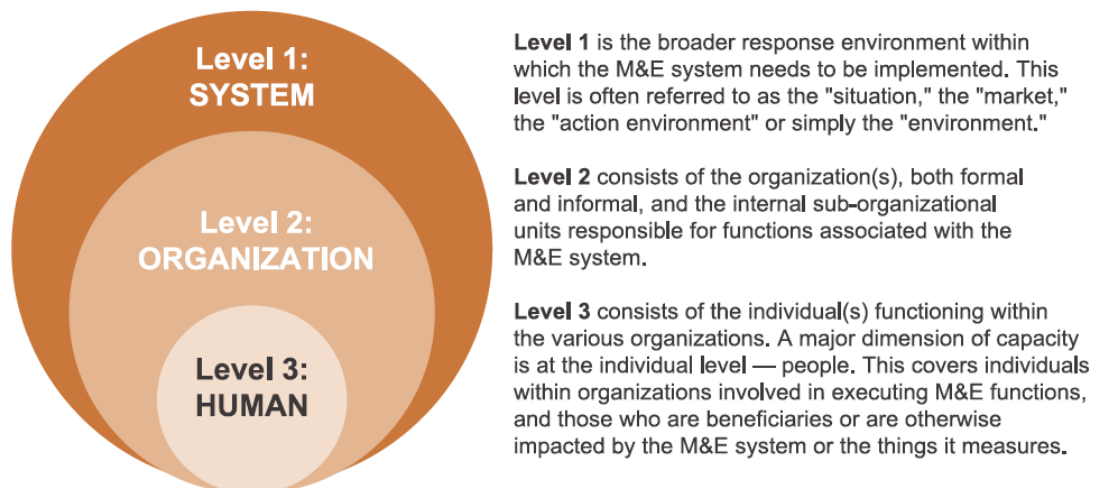
Finally, stage ten is reserved for sustainability matters, that is, “six criteria are seen as crucial to maintaining the sustainability of an M&E system: demand (use), structure, trustworthy and credible information, accountability, incentives, and capacity” (Görgens and Kusek, 2009:4). Most of these criteria are promoted within the first 9 stages, but of importance to expand on are the criteria **structure and capacity**.

In terms of **organizational structure (and alignment)**, Görgens and Kusek (2009) highlighted the importance of M&E roles and functions being assigned to staff once an organization has been assigned the responsibility of M&E. This can be in the form of formally established units, positions, or M&E roles and responsibilities explicitly included in the job descriptions of existing key staff positions. Bedi et al. (2006) and OECD/DAC (2006) advocate the importance of the M&E mandate of the agency being explicitly enshrined in legal frameworks. Further, the type of organizational structure in place and the extent to which it supports the type of M&E mandate of the organization is critical; for instance, if promoting accountability is an agency’s man-

date, then the M&E unit should be positioned outside of the primary executing unit (Görgens and Kusek, 2009; Mackay, 2007). Lastly, it is important for the organization's managers and key technical officers to be clear on the role of M&E in the work of the organization (Görgens and Kusek, 2009). These collective elements promote better alignment between the structure and operations of the organization and the requirements for a functional M&E system.

In terms of **capacity**, there are three levels as illustrated in Figure 4. **Human capacity** is "the ability of individuals to perform functions effectively, efficiently and sustainably" (Görgens and Kusek, 2009: 92), but capacities are also needed at the organizational and system levels to perform the M&E functions effectively and efficiently as a collective system. To sustain a functioning M&E system it is important that the skills gaps are known (through **capacity assessments**) and sought after through hiring of relevant technically trained officers or **ensuring capacity building** (Görgens and Kusek, 2009; Mackay, 2007). Determining the capacities of the entire M&E system can become a complex assessment, given that most developmental programs are made up of many stakeholders. In this regard, the key guidelines for level 3 in Figure 4 will be prioritized and considered in the diagnostic tool given that the M&E system is only as good as the people that execute the tasks and they are therefore the foundation of the system.

Figure 4: The Three Levels of Capacity and Capacity Development



Source: Adopted from UNDP in Görgens and Kusek, 2009: 92

In view of the foregoing, the core dimensions of a generic M&E system are depicted in Table 2 below. These dimensions will be considered in the development of the diagnostic tool, pending final guidance from the next section on the unique considerations for CCA and CCM M&E systems.

Table 2: Core Dimensions of an M&E System

Dimensions	Sub-components
1. Institutional Readiness	Alignment Capacities
2. Unified System (Supply Side)	Coordination Rationalization Partnerships
3. Demand Side	Users and Users' needs Use Communication Strategy Report timeliness and formats M&E Advocacy Strategy M&E Champions and counter-reformers
4. Plans, Guidelines, Budgeting & Finance	M&E plan and guidelines Costed M&E work plans Dedicated M&E Funds
5. Indicator, Baselines, Targets & Data Management	Indicator selection criterion and process Baselines Targets Database Quality assurance
6. Evaluation	Evaluation Policy and Guidelines Evaluation Types Methodology Independence and impartiality

Source: First Author

3.2. Unique considerations for monitoring and evaluating climate change programs

3.2.1. CCA unique considerations

The impetus for CCA was solidified in 2010 at the 16th Conference of Parties (COP) meeting in Cancun, when it was affirmed that the international community must equally prioritize CCA and CCM, which led to the establishment of the Adaptation Committee of the United Nations Framework Convention on Climate Change (UNFCCC, 2014a). By 2013, this committee organized and hosted a workshop on M&E for CCA due to the recognition of the important role M&E plays in enhancing implementation of CCA actions by Parties of the convention (UNFCCC, 2014a) and even before this, in 2011, the International Institute for Environment and Development (IIED) feature M&E in its 5th annual conference on community based adaptation to CC (Villanueva, 2011).

Whilst M&E for CCA is only now taking off, M&E practitioners have already noted that there are several key challenges in M&E of CCA that calls for a re-thinking of M&E approaches for CCA (Bours et al., 2013; Villanueva, 2011). Firstly, CC being a long-term phenomenon indicates that estimating the effectiveness of CCA interventions would need to be several years after the project (Bours et al., 2014; Dinshaw et al., 2014). Also, CCA interventions are guided by 'projections' based on imperfect models, which means that there is no precise estimate for future climate (Bours et al., 2014); as a result, the targets for CCA interventions are 'moving targets'

(GIZ and WRI, 2011). Similarly, baselines for CCA interventions are not static since ecosystems undergo natural changes over time (Bours et al., 2014; UNDP, 2007). These collective challenges result in the need for M&E systems for CCA interventions to have **constant monitoring, which should extend beyond the timeframe of programs/projects**. A caveat is that considerations will have to be given to the feasibility of undertaking impact and effectiveness evaluations of anticipatory⁷ adaptation actions for events that are projected 50–100 years in the future – in most instances it will be unsustainable for financial reasons to maintain continuous monitoring over this timeframe to adequate track changes. Further, **baselines and targets would need to be updated periodically** in view of the findings from monitoring data (Villanueva, 2011).

According to Figure 5, adaptation can be viewed as either an outcome or a process (Bours et al., 2013; Villanueva, 2011; Leagnavar et al., 2015); however, the current push for M&E approaches to focus on results has created preference for the estimation of adaptation as an outcome through the use of static quantitative indicators and targets, which has resulted in limited knowledge about the process of adaptation or how we are ‘learning to adapt’ (Villanueva, 2011). Although the focus is on adaptation as an outcome; with limited evaluations of CCA interventions to date, there has been limited consensus on the principles of successful adaptation, which would be ideal for identifying suitable indicators (Villanueva, 2011; Adger et al., 2004) to track the most desirable changes that tell the story of adaptation.

A closer look at M&E for CCA warrants inspection of the term ‘adaptive capacity’, which is the “ability of a system to adapt” (IPCC in Villanueva, 2011: 14). There is general consensus that investments in adaptation actions will facilitate the building of our abilities to adapt; signaling that adaptation leads to enhanced adaptive capacity (Hedger et al., 2008). Another important term is ‘vulnerability’, which is “the degree to which a system is susceptible to, or unable to cope with, adverse effects of climate change [...]” (IPCC, 2001: 995). Thence, strengthening adaptive capacity allows for the reduction of vulnerability (Adger et al., 2004; Villanueva, 2011). This confirms why increasing adaptive capacity and reducing vulnerability are the main goals of CCA interventions; however these are also dynamic and multi-dimensional variables, which mean that they can easily become a moving goal post that can become challenging to monitor and evaluate (Villanueva, 2011; Bours et al., 2013).

The preceding paragraphs provide further reasoning that monitoring for CCA needs to be continuous as noted above, but it also calls for **evaluations to measure the effectiveness of the adaptation actions as well as the determinants of adaptive capacity** (Villanueva, 2011; Pringle, 2011). Given that indicators provide a critical source of information for monitoring and evaluation to take place, it follows that **indicators to track adaptation actions and adaptive capacity** are needed in CC programs (Pringle, 2011; Leagnavar et al., 2015).

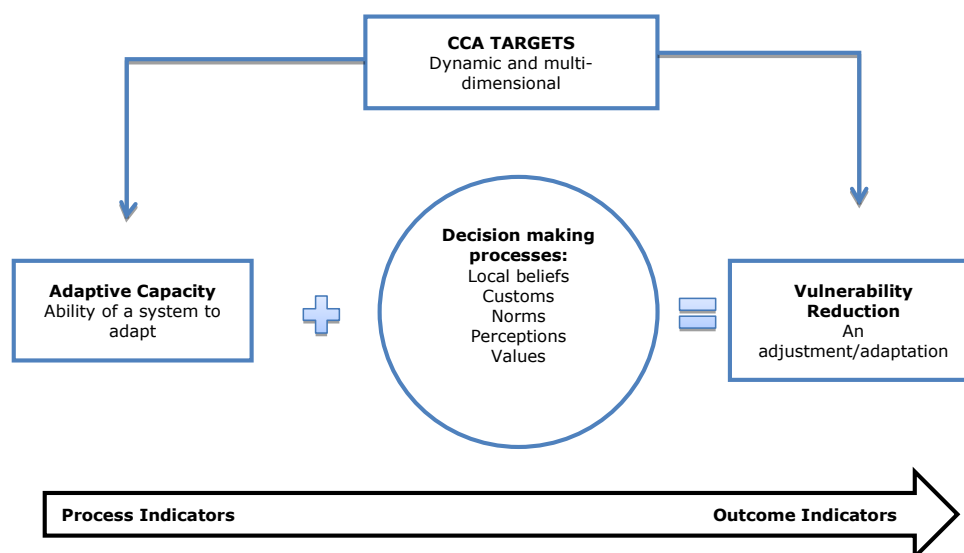
Also notable is the circle in the middle of Figure 5, which can be thought of as the missing middle in M&E for CCA. That is, there is limited attempt to understand what influences the choices made between enhancing adaptive capacities and actually translating these capacities into actions that result in adaptation (the outcome or adaptation action). Exploring this missing middle can also help to elucidate what ‘learning to adapt’ entails (Villanueva, 2011). Thus, a key consideration is to include **indicators that capture the process and outcome⁸ di-**

[7] Smit et al (2000) have classified three types of adaptation actions based on timing relative to the climatic stimuli. Anticipatory, as the word suggests, includes those adaptation actions that are implemented based on a forecast of what is to come.

[8] The difference between process and outcome indicators is that the former measures “important processes that contribute to the achievement of the outcomes by means of (indirect) indicators of quality and merit” (Leagnavar et al., 2015:39).

mensions of CCA (Harley et al., 2008; Villanueva, 2011; Leagnavar et al., 2015). Mixing indicators is complementary and useful for triangulation and gaining deeper insight into how adaptation took place (Leagnavar et al., 2015). Cognizant that indicators influence the type/level of performance targets, it would follow that there is need for targets for CCA programs at the intermediate results (process indicators) and outcome level.

Figure 5: CCA considerations for M&E



Source: First Author

The last point in terms of indicators is that several criteria exist for indicator development and some are specific for CCA, for instance the ADAPT⁹ principles (Villanueva, 2011), but there is no consensus on the best guiding principles for indicator development for CCA interventions (Leagnavar et al., 2015). A very recent study on indicators for CCA by Leagnavar, Bours and McGinn (2015) found that many of the indicator development criteria (SMART, CREAM, SPICED, ADAPT) have been applied to CCA interventions with reported drawbacks as well as advantages and they have recommended that “any of these criteria can serve as guidance for practitioners. It is up to each M&E professional, project team, and stakeholder group to choose which is best for them” (Leagnavar et al., 2015: 52). The best practice is to **consistently use one of the criteria** to ensure standardization of the indicator development process and to **use a mix and balance in the types of indicators** (qualitative, quantitative, process, output, outcome, impact) (Leagnavar et al., 2015).

3.2.2. CCM unique considerations

The key driver for GHG emission reduction is the Kyoto Protocol (KP) to the UNFCCC, which was adopted in 1997, entered into force in 2005, and had its first commitment period for developed countries set for 2008–2012. There is now the Doha Amendment to the Kyoto Protocol with the second commitment period spanning 2013–2020 that sets increased ‘quantified emissions limitation and reduction objectives’ (QELROs) for developed countries and it is expected that developing countries would also invest in efforts to advance mitigation (UNFCCC, 2014a)

[9] ADAPT principles: Adaptive learning, Dynamic monitoring, Active, Participatory and Thorough. (Villanueva, 2011)

since it is estimated that “67% of GHG abatement potential is located in developing countries” (McKinsey in Pang et al., 2014:4). To facilitate emission reduction, the KP introduced two mechanisms called the Joint Implementation (JI), which commenced in 2008, and Clean Development Mechanism (CDM), which commenced in 2006. The former is emission reduction through knowledge, capacity and/or technology exchange between developed countries and the latter is between developed and developing countries (USAID, 2000). The focus of CDM on emission levels necessitated the development of rigorous methodologies for the estimation of GHG emission sources and sinks¹⁰ by sectors and the implementation of guidelines and procedures to allow for “measurable, reportable and verifiable” (MRV) GHG mitigation actions (OECD, 2015).

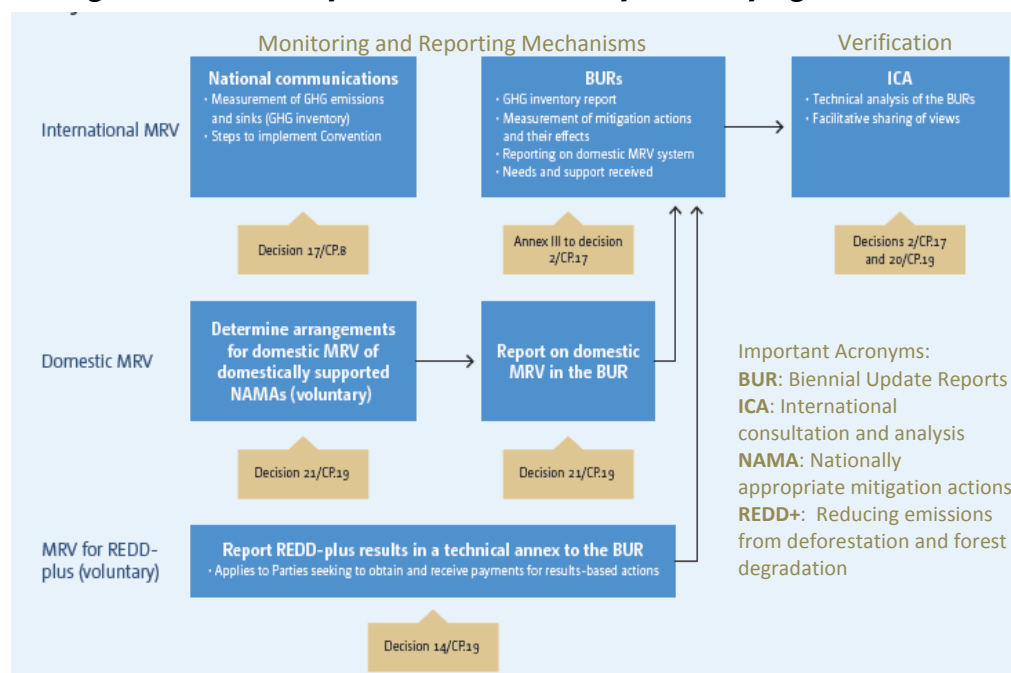
The **MRV framework** for CDM was articulated over the period 2004–2013, that is, meetings # 10–19 of the COP and is applicable in three instances: (i) MRV for emissions, which includes GHG inventories and National Communication Preparation, (ii) MRV for Nationally Appropriate Mitigation Actions (NAMA), which is specific for developing countries and (iii) MRV of financial support which examines “financial flows/technology transfer/capacity building and their impacts” (Pang et al., 2014: 7). Those developed countries that support CDM overseas are mostly advancing the last type of MRV (Pang et al., 2014).

Figure 6 illustrates the scope and requirements of the MRV system from a developing country perspective. It can be seen that developing countries MRV can exist at the international and national levels to support GHG emission reporting requirements, as well as planning and implementation of national mitigation actions, respectively (UNFCCC, 2014b). **Each element in the MRV framework has guidelines and approved methods/tools** that are designed to guide standardization of international monitoring and reporting on emission levels (from both sources and sinks) (UNFCCC, 2014b). It is illustrated that developing countries with NAMAs must have domestic MRVs. NAMAs were introduced in 2007 and reflect the emission mitigation actions for developing countries to reduce their GHG levels through national or international funding¹¹ (UNFCCC, 2014b). NAMAs were not conceived to include CDM mechanisms since these are intended for developed countries to meet their QELROs (CCAP, n.d.); therefore developing countries engaged in CDM projects are required to have designated operational entity (independent auditors), which independently validates whether the CDM project is in keeping with the established CDM guidelines and methodologies and to verify that the stated emission reduction took place (UNFCCC, n.d. a). Furthermore, countries might also have Reducing Emissions from Deforestation and Forest Degradation (REDD+) initiatives, that is, conservation of carbon sinks to receive results-based payments. In this instance, the domestic MRV needs to be guided by the Warsaw Framework for REDD+ and also be aligned to the MRV requirements of NAMA (UNFCCC, 2014b). The aforementioned illustrates that countries can have a combination of MRV systems given the types of offset programs they are implementing. However, the principles governing the establishment of the MRV promote the use of existing domestic systems and capacities to promote cost effectiveness (UNFCCC, 2014b).

[10] Sources include fossil fuel combustion and changes in land-use that result in the emission of GHG; whilst sinks include the ocean and trees that assimilate GHG gases.

[11] Recently the UNFCCC has introduced the concept of Low-Emission Reduction Strategies or Low-Carbon Development Strategies (LCDS), which outline the long-term strategies to reduce emissions and it provides the framework for the development of NAMAs (UNFCCC, 2014b).

Figure 6: Elements of the MRV Framework for developing countries



Source: Adapted from UNFCCC, 2014b: 15

The key differences in the MRV systems for developing and developed countries are the verification processes and scope of the reporting requirements and their timeframes. For developed countries, international expert review teams (ERTs) are used to verify those elements of the GHG inventories and national communications related to the KP and an international assessment review (IAR) is used for elements of the GHG inventories and national communications (NC) related to the UNFCCC. BURs from developed countries are subject to IAR (UNFCCC, n.d. b). On the contrary, for developing countries, verification of BURs and NCs is performed by an international consultation analysis (ICA) (UNFCCC, n.d. b).

Critical to the successful operation of any MRV systems is to have **institutional structures and capacities in place** and should include “establishing national legal/formal arrangements; choosing and maintaining an appropriate coordination body; in-country institutional and technical capacity building; mechanism for stakeholder involvement” (UNFCCC, 2014b: 50). Another noteworthy aspect of MRV systems is the importance of setting a **baseline/reference scenario that is based on business-as-usual (BAU)** emission estimates. The BAU scenario should include existing policies and activities to reduce emissions that are not related to the mitigation action being evaluated to be able to establish the counterfactual (Wörlens, 2013).

3.2.3. CCA & CCM similarly unique considerations

A common dimension of M&E for CCA and CCM is the importance of **monitoring and evaluating ‘maladaptation’** in the case of CCA and **‘leakage’** in the case of CCM. These tend to be negative unintended effects of CCA and CCM interventions (Villanueva, 2011; Leagnavar et al., 2015; Wörlens, 2013). This means that **indicators should cover beyond the scope of the program** to track maladaptation/leakage pathways and should be included as evaluation objectives/questions (Villanueva, 2011; Leagnavar et al., 2015). There is a general agreement among

M&E practitioners that using the **theory of change**¹² (ToC) approaches is useful for dealing with CC uncertainties, guiding indicator and baseline development and framing evaluation questions that expand beyond the scope of the program (Villanueva, 2011; Leagnavar et al., 2015; Wörlens, 2013).

3.3- Gender Considerations

“Just as climate change will affect regions very differently, it is also clear that climate change will affect men and women differently, depending on their roles and responsibilities in the household and community. In many communities, climate change will have a disproportionately greater effect on women, since women are often poorer and less educated than men and often excluded from political and household decision-making processes that affect their lives. Additionally, women usually have fewer assets and depend more on natural resources for their livelihoods. These and other factors indicate that women will be more vulnerable than men to the effects of climate change” (UNDP, 2010: 14).

The statement above signals the importance of including gender¹³ considerations in the design of CCA and CCM actions, which gives rise to the importance for M&E systems to place emphasis on gender. Table 3 illustrates that gender plays an important role in determining the adaptive capacities of individuals and as such, if gender is tracked by M&E systems it can support greater learning on how we are learning to adapt in the context of gender. It is further illustrated in Table 3 that women are more vulnerable than men to climate related hazards, but women have an important role to play in supporting CCA and CCM given their high levels of awareness of risks, knowledge of the community and the fact that they have a pertinent role in the management of natural resources (UNFCCC, 2014c). Therefore, gender considerations need to be taken on board from two dimensions - what characteristics, attributable to gender, increases an individual’s vulnerability (their weaknesses) and what roles and responsibilities individuals undertake in the household and community, as a result of their gender, makes them useful in adapting to climate related risks (their strengths).

[12] “ToC outlines the building blocks and the relationships between them that would lead to the accomplishment of a long-term goal. When done well, this approach enables stakeholders to embed an intervention within a larger strategy and broad, transformative analysis. It is flexible and practical insofar as it clearly articulates a vision of meaningful social change, and then systematically maps out specific steps towards achieving it” (Bours et al., 2014: 2)

[13] “Gender is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time” (USAID, 2010:2).

Table 3: Summary of gender differences in vulnerability and adapting to disasters

<p>Disparities that increase risks for women in disasters</p> <ul style="list-style-type: none"> ■ Higher levels of poverty ■ Extensive responsibilities of caring for others ■ Domestic violence ■ Traditional women's occupations 	<p>Disparities that increase risks for men in disasters</p> <ul style="list-style-type: none"> ■ Occupational segregation ■ Internalized norms of masculinity ■ Roles in the family and in the home
<p>Gender experiences that can increase capacities for managing disaster situations: women</p> <ul style="list-style-type: none"> ■ Social networking ■ Caring abilities ■ Extensive knowledge of communities ■ Management of natural and environmental resources ■ High levels of risk awareness 	<p>Gender experiences that can increase capacities for managing disaster situations: men</p> <ul style="list-style-type: none"> ■ Professional and work contacts ■ Technical abilities ■ Limited childcare responsibilities

Source: Adopted from UNDP et al. in UNDP, 2010: 18

These two dimensions of gender need to be addressed from the planning stages of CCA and CCM actions, which is commonly referred to as 'gender mainstreaming'.

"[Gender mainstreaming is] the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality" (ECOSOC in UNDP, 2010: 22).

The active participation of women in the planning stages and decision-making processes avoids promoting maladaptation practices related to increasing the vulnerability and inequalities of women (UNDP, 2010; UNFCCC, 2014c).

In terms of promoting gender considerations in M&E systems for CC programs, **indicators should be gender sensitive and promote gender-disaggregation of data** (UNDP, 2010; Leagnavar et al., 2015; UNFPA and WEDO, 2009). Similarly that it is important for women to play an active role in the planning and decision-making, it follows that women should be engaged in M&E systems development through their **involvement in committees and indicator development and target setting exercises**. Further, **evaluations should investigate the impacts of the CCA program on the adaptive capacities of both genders, with the use of gender analysis**¹⁴ (UNDP, 2010; UNFPA and WEDO, 2009). Further, **targets that address gender concerns** are needed to keep focus on gender quality (UNDP, 2010; UNFPA and WEDO, 2009) and **reports should provide statistics and information in the context of gender** (UNDP, 2010).

[14] "Gender analysis is a systematic analytical process used to identify, understand, and describe gender differences and the relevance of gender roles and power dynamics in a specific context. Such analysis typically involves examining the differential impact of development policies and programs on women and men, and may include the collection of sex-disaggregated or gender-sensitive data" (USAID, 2011:2).

In view of the foregoing, the key dimensions of the diagnostic checklist that addresses the unique considerations of CCA, CCM and gender are depicted in Table 4 with an asterisk.

Table 4: Core dimensions of an M&E system + CCA and CCM considerations

Dimensions	Sub-components
1. Institutional readiness	Alignment Capacities
2. Unified system (Supply Side)	Coordination Rationalization Partnerships
3. Demand Side	Users and Users' needs Use Communication Strategy Report timeliness and formats M&E Advocacy Strategy M&E Champions and counter-reformers
4. Plans, Guidelines, Budgeting & Finance	M&E plan and guidelines Costed M&E work plans Dedicated M&E Funds *Timeframe
5. Indicator, Baselines, Targets & Data Management	*Theory of Change Indicator selection criterion and process *Indicator types and coverage Baselines/*reference scenario Targets Database Quality assurance
6. Evaluation	Evaluation Policy and Guidelines Evaluation Types Methodology Independence and impartiality *Evaluation coverage
7. Verification	*Processes/Mechanisms *Standards

Source: First Author

4. THE DIAGNOSTIC TOOL

Based on the literature in the foregoing sections, a draft diagnostic tool was developed as detailed in **Appendix I**, that comprises the above mentioned 7 dimensions and 29 sub-components, which were made further operational through 61 questions. This draft diagnostic tool was then validated through fieldwork in Belize at the CCCCC, which was undertaken by the first and main author. As noted in the methodology, the CCCCC coordinates the MEI, which is an M&E tool that supports tracking of the implementation of the Regional Framework for Achieving Development Resilient to Climate Change in the Caribbean 2009-2015 in the 15 member states of CARICOM. Hence, the MEI is designed to support M&E needs at a supranational level. The fieldwork involved a combination of primary and secondary data sources, which were collected and analyzed using a combination of qualitative and quantitative methods. Primary

data were collected through semi-structured interviews, which garnered qualitative data that were based on the questions in the M&E diagnostic tool. Due to the plethora of stakeholders engaged in the implementation of the Regional Framework and IP, it was not feasible to interview all cases; therefore, invitations were sent to as many as possible with final interviews being conducted with those that were readily available and willing (convenient sampling). Grey literature on M&E for CC was also consulted to provide explanations for some findings and to aid in crafting recommendations. All final relevant information was entered into an excel sheet to inform a quantitative assessment that was based on a five-point ordinal scoring system ranging from: weak (0), partially satisfactory (1), satisfactory (2), good (3) to excellent (4).

The ensuing section highlights the strengths and weaknesses of the diagnostic tool that were noted during the fieldwork. **Appendix II** provides details on the amendments that were incorporated to give rise to the enhanced diagnostic tool. The final M&E diagnostic tool for CC programs is detailed at **Appendix III**. The findings from the application of the diagnostic tool to the case study are detailed in Rahat (2015).

4.1. Strengths of the Diagnostic Tool

The diagnostic tool proved to be applicable to the case study, albeit the MEI is regional in nature and the origins of the diagnostic tool were to support the assessment of M&E systems for national CC programs. This signals that the tool might also be applicable to an agency's CC program/project with sensible adjustments made to the phrasing of some of the questions. Further, apart from the limitations of the questions noted in the weaknesses below, the scope and objectives of the questions were generally applicable to the context of the case study. This suggests the tool is versatile and context sensitive, for the most part.

Also, the diagnostic tool effectively promoted gender considerations, which is important from both a CC and M&E perspective. The tool was able to quickly identify the areas of weakness for gender considerations and plausible reasons why the limitation existed so that it can be addressed in the future.

The original format of the tool provided limited guidance on how to score using the 5-point ordinal scale. In essence, judgment was left to the researchers when assigning performance levels. This approach increases bias, can introduce errors into the diagnosis exercise and also limits the possibility of replicating the research in the future. As a result, during the fieldwork the researchers developed qualification criteria per sub-component of each dimension to define the parameters to be met for assigning scores between the 0-4 ordinal scales. Qualification notes were also included for additional guidance on definition of terms/concepts to promote standardization in interpretation and assessment. See Table 5 for an extract of qualification criteria and notes. See **Appendix III** for the qualification criteria and notes pertaining to all questions.

Table 5: Qualification Criteria and Notes for Sub-Components of the Diagnostic Tool

Sub-Components	Questions	Qualification Criteria for Performance	Qualification Notes
DIMENSION 1: INSTITUTIONAL READINESS			
1.1 Alignment	<p>1.1.1 Is the organization mandated (legally or through a formal mechanism) to monitor and evaluate climate change actions?</p> <p>1.1.2 Are M&E roles and responsibilities explicitly assigned to staff/units?</p> <p>1.1.3 Are the key technical officers clear on the relevance of M&E in the implementation of the CC program? Are they clear of their M&E supporting roles, if any?</p> <p>1.1.4 Is the objective of the M&E system clear/explicit and are the practices and location of the M&E unit/staff ideal to promote the M&E objectives?</p>	<p>0= none of 1.1.1-1.1.4 fulfilled</p> <p>1= any 1 of the 4 areas(1.1.1-1.1.4) are fulfilled</p> <p>2= any 2 of the 4 areas are fulfilled</p> <p>3= any 3 of the 4 areas are fulfilled</p> <p>4= 1.1.1 to 1.1.4 are fulfilled</p>	<p>General comment: If one of the questions is not fully satisfied then it should not be considered as fulfilled; the notes should capture the level of progress for those dimensions only partially fulfilled.</p> <p><u>Formal mechanisms</u> to include through high level committees providing policy advice to the agency</p> <p>1.1.1-1.1.4 are considered to have equal weighting therefore an increase in any combination of them results in an increase in the performance level.</p> <p>The main objectives of M&E systems are to promote accountability and/or learning (OECD/DAC, 1991)</p>

Source: First Author

The scoring system coupled with a qualitative analysis was complementary in prioritizing and sequencing remedial actions, which is particularly beneficial when there is limited funding and technical capacities to upgrade all the areas of an M&E system in the short term.

The modus operandi of applying the tool offers flexibility: it can be self-administered to identify bottlenecks in the current CC M&E system or an independent authority can administer the tool to reduce bias. The ultimate decision on which approach to use is dependent on the funding availability and the intended use of the findings. Further, the primary assumption of the diagnostic tool is that a CC program exists that addresses both CCA and CCM actions; but, if this is not the case, sections of the tool can also be extracted and applied to CCM or CCA stand-alone programs.

Finally, the tool was useful in establishing a benchmark of the state of development of the MEI with respect to international best practices and approaches for M&E of CC programs.

4.2. Weaknesses of the Diagnostic Tool

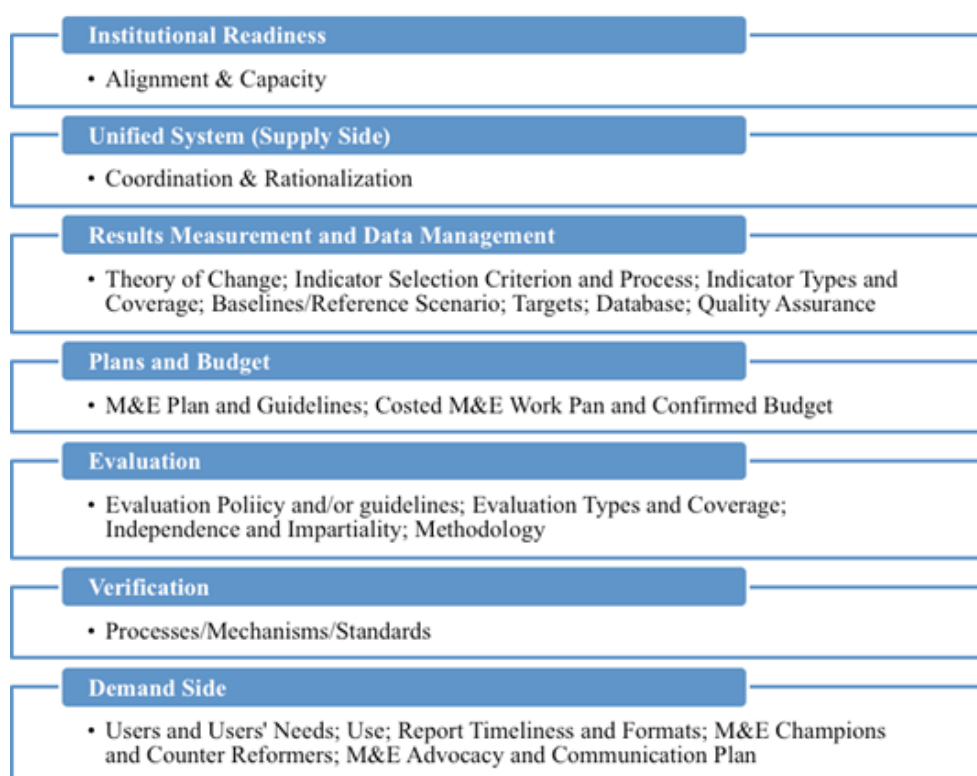
The fieldwork brought to light that there were several questions that were not clearly stated to measure what was intended or needed refocusing to be more beneficial to the analysis. Also, a few questions could not be scored; some were duplicated and were therefore rationalized to make the diagnostic tool more succinct. See example in Table 6 and for the full details on all amendments made to the tool see **Appendix II**. As a result of the rationalization of questions the diagnostic tool shifted from having 29 sub-components with a total of 61 questions to 23 sub-components with 45 questions. A snapshot of the enhanced diagnostic tool is featured in Figure 7 below. The updated questions were applied to the analysis of the case study, which is found in the MA dissertation by S. Rahat, supervised by N. Holvoet.

Table 6: Rationalization of questions in the diagnostic tool

Sub-Components	Questions	Amendments and Rationale	Final Questions
DIMENSION 3: RESULTS MEASUREMENT AND DATA MANAGEMENT			
3.1 Theory of Change	Is a theory of change elaborated for the CCA and CCM actions in the program?	Amended to include the importance of stakeholder participation since this is one of the strengths of the ToC approach	3.1.1 Is a theory of change elaborated for the CC program and was it developed using a participatory approach?
3.2 Indicator selection criterion and process	What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data? Is the indicator development a participatory process? Is there adequate gender balance among the participants represented?	Amended to include 'where applicable' since all indicators are not automatically gender sensitive. Gender balance in participation does not guarantee gender sensitive indicators. Further, gender balance is still context specific to regions of the world	3.2.1 What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data (where applicable)? 3.2.2 Is the indicator development a participatory process?

Source: First Author

Figure 7: Dimensions and Sub-Components of the Diagnostic Tool



Source: First Author

Whilst the qualification criteria provided the advantages noted above, there are limitations that currently exist: some sub-components have more questions than others, which can make the scoring a little more complicated and too context specific since a combination of items need to line up to qualify for a grade. Furthermore, whilst equal weighting is always assigned, for the sub-components with more questions, the possibility of meeting the highest score becomes harder since more “ducks in a row” are needed. This can bias the performance level of those sub-components and the overall dimension downwards.

There are also external challenges that can affect the longevity of the diagnostic tool, which were noted earlier, that is, the M&E landscape is constantly evolving due to the need to be more effective and efficient in M&E practices.

5. CONCLUSIONS AND RECOMMENDATIONS

This paper was successful in exploring suitable dimensions for diagnosing an M&E system that is specific for a climate change program. It can also be considered a timely research given the global importance of the climate change agenda and the level of financing directed towards climate change mitigation and adaptation actions – both of which need to be supported by sound M&E systems and frameworks to ensure that learning and accountability are promoted.

The paper explores the core dimensions of a generic M&E system, which were largely guided by the Kusek and Rist (2004) and Görgens and Kusek (2009) frameworks. Most dimensions were applicable to the design and sustainability of an M&E system that is catered for CC programs. The only aspect of the Kusek and Rist ten-step framework not fully embraced is stage two that calls for emphasis on outcome level results. Given the nature of CCA and the importance of monitoring and evaluating the processes related to adaptive capacity, the diagnostic tool promotes M&E of both process and outcome level results.

Secondly, the unique considerations for CCA and CCM were identified, which varied largely given that CCA has more grey areas for M&E than CCM that has well developed methods and guidelines for MRVs. However, common considerations were identified which related to the importance of using the theory of change framework for the identification of wider potential impacts of the program to track unintended impacts and uncertainties related to the CC field.

Thirdly, the requirements for mainstreaming gender were identified with many lessons noted from the disaster risk reduction field. The implications of gender on adaptive capacity was a key dimension revealed in the literature, which underscored the importance of including gender considerations in the M&E system for CCA programs so that evaluators can understand how adaptation occurs in the context of gender.

Lastly, a comprehensive diagnostic tool was developed based on the key ingredients for developing an M&E system for developmental, CCA and CCM programs. Strengths and weaknesses of the diagnostic tool that were revealed by its application include: it is versatile and context sensitive as it was applicable to a large extent in a supranational context and the evaluation criteria increased the reliability and replicability of the quantitative assessment. Paradoxically, the existing weakness also reside in the evaluation criteria, particularly for those dimensions with many questions there can be a tendency to bias the performance downwards since more requirements need to be met.

The following are the key recommendations coming out of this research paper:

1. The diagnostic tool should be tested at the country level with a well-developed CCA and CCM program to allow testing of the CCM component fully and the applicability of the questions and dimensions in the national context.
2. Over time the tool will need to be updated to maintain relevance and congruence with emerging best practices for monitoring and evaluating climate change.
3. Other developmental issues such as tracking the impact of climate change

programs on inequality and the disaggregating of effects on the elderly and disabled (as opposed to gender alone) can be considered and included in the diagnostic tool over time since these developmental issues are linked and an optimal M&E system should be positioned to track the interconnections.

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APPENDIX I – DRAFT DIAGNOSTIC TOOL

Dimensions	Sub-components	Questions
1. Institutional Readiness	1.1 <i>Alignment</i>	Q1 Is the organization legally mandated to monitor and evaluate climate change actions?
		Q2 If so, are M&E roles and responsibilities explicitly assigned to staff/units?
		Q3 Are the key technical officers clear on the relevance of M&E in the implementation of the CC program?
		Q4 Is the objective of the M&E system to promote accountability and/or learning?
		Q5 Where is the M&E unit located?
	1.2 <i>Capacities</i>	Q6 Are the gaps in the M&E capacities of the organization known?
		Q7 Is there a capacity building plan in place to enhance M&E capacities?
2. Unified System (Supply Side)	2.1 <i>Rationalization</i>	Q8 Have efforts been taken to rationalize databases, indicators, information flows, roles and responsibilities and reporting requirements among the supply side players in the CCA and CCM M&E system?
		Q9 Have opportunities for rationalization of the CC M&E system with those of other development agendas been advanced?
		Q10 Are MRVs for various types of mitigation actions rationalized to reduce duplication of efforts?
	2.2 <i>Coordination</i>	Q11 Is there a functioning high-level M&E committee that provides political oversight?
		Q12 Are there technical committees to support indicator development, design and standardization of data collection tools and analysis of data for CCA and CCM components of the CC program?
		Q13 Is there a coordination unit to support the various committees?
		Q14 Does the membership of the committees include representatives from civil society, parliament, women's and men's groups, line ministries, and statistical office?
3. Demand Side	2.3 <i>Partnerships</i>	Q15 Do partnership mechanisms (formal or informal) exist with donors, research institutions, lobby groups and other members of civil society (including gender groups)?
		Q16 Are donors using the M&E system that is in place for the CCA and CCM actions?
	3.1 <i>Users and Users' needs</i>	Q16 Are the users of the M&E information identified and their decision-making needs known?
		Q17 Are the users from internal, multilateral, international, civil society or a combination of these?
	3.2 <i>Use</i>	Q18 Are the data collected converted into information that meets the needs of users?
		Q19 Is there evidence that the intended users are using the information?
	3.3 <i>Communication Strategy</i>	Q20 Is there a communication strategy that addresses 'who, what, how and when' regarding M&E information dissemination?

Dimensions	Sub-components	Questions
4. Plans, Guidelines, Budgeting & Finance	3.4 Report timeliness and formats	Q21 Are M&E reports available in a timely manner? Q22 Is reporting on the BUR and National Communication (NC) completed within timeframes required? Q23 Does reporting on the NC and BUR meet the guidelines and formats established? Q24 Are the findings shared with policy makers and other grouping of stakeholders in the appropriate format? Q25 Do reports have information presented in the context of gender?
	3.5 M&E champions and counter-reformers	Q26 Who are the champions and counter-reformers for the M&E system? Q27 Are they located in government, civil society etc.?
	3.6 M&E Advocacy Strategy	Q28 Does an M&E advocacy strategy exist? Q29 Is the treatment of counter-reformers explicit in the advocacy strategy?
	4.1 M&E plan and guidelines	Q30 Is there a comprehensive M&E plan for the CC program that addresses both CCA and CCM? Q31 Is the (central) agency's M&E plan linked with other supply side actor's M&E plans? Q32 Do indicator protocols exist for the indicators? Q33 Is there continuous/frequent monitoring to detect changing baselines, targets and other CC-related uncertainties?
	4.2 Costed M&E work plans	Q35 Is there a costed work plan that exists for the M&E plan?
	4.3 Timeframe	Q36 Is the duration of the work plan cognizant of the timeframes of future climatic events to be addressed by the CCA program?
	4.4 Dedicated M&E funds	Q37 What percentage of the CC program budget is dedicated to M&E?
	5.1 Theory of Change	Q38 Is a theory of change elaborated for the CCA and CCM actions in the program?
	5.2 Indicator selection criterion and process	Q39 What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data? Q40 Is the indicator development a participatory process? Is there adequate gender balance among the participants represented?
	5.3 Indicator Types and coverage	Q41 Are process and outcome indicators included in the M&E plan? Q42 Are the indicators wider than the scope of the program to track leakages and maladaptation practices?
5. Indicator, Baselines, Targets & Data Management	5.4 Baselines/reference scenarios	Q43 Do baselines exist for all indicators? Q44 Are baselines for CCA actions reviewed periodically in view of monitoring data? Q45 Are reference scenarios for CCM actions established based on appropriate BAU scenarios?

Dimensions	Sub-components	Questions
6. Evaluation	5.5 Targets	Q46 Do results-based targets exist? Do they reflect gender concerns? Q47 What are the timeframes?
	5.6 Database	Q48 Is there a database platform? Q49 Is it accessible by data suppliers? Q50 Does it promote rationalization of existing databases/platforms?
	5.7 Quality assurance	Q51 Do standards or guidelines exist to promote standardization of data and quality assurance?
	6.1 Evaluation policy and guide-lines	Q52 Is there an evaluation policy and guidelines?
	6.2 Evaluation types	Q53 Are different types of evaluations promoted for the CC program?
	6.3 Independence and impartiality	Q54 Is independence and impartiality promoted in evaluations?
	6.4 Evaluation coverage	Q55 Do evaluation objectives & questions place emphasis on examining adaptive capacity, vulnerability, maladaptation and/or leakage, and difference in impacts due to gender?
	6.5 Methodology	Q56 Is it clear which evaluation methodologies will be utilized? Q57 Are the appropriate methodologies used for tracking emission levels for the respective sectors advancing emission reduction actions?
	7.1 Processes/Mechanism	Q58 Does the country have CDM, REDD+, NAMA or a combination? Q59 Does an independent external body verify emission reduction actions related to CDM and/or REDD+? Q60 Is an ICA undertaken for BUR reports including NAMA and REDD+ domestic activities?
	7.2 Standards	Q61 Are the CDM verification and validation standards met for CDM projects?

APPENDIX II- AMENDMENTS TO THE DIAGNOSTIC TOOL

Sub-Component	Questions	Amendment and Rationale	Final Questions
DIMENSION 1: INSTITUTIONAL READINESS			
1.1 Alignment	Is the organization legally mandated to monitor and evaluate climate change actions?	Formal mechanisms included as acceptable since legal documents might not be a customary practice of all case studies.	1.1.1 Is the organization mandated (legally or through a formal mechanism) to monitor and evaluate climate change actions?
	If so, are M&E roles and responsibilities explicitly assigned to staff/units?	Unchanged	1.1.2 Are M&E roles and responsibilities explicitly assigned to staff/units?
	Are the key technical officers clear on the relevance of M&E in the implementation of the CC program?	Updated to ensure supporting roles and responsibilities for the sustainability of the M&E system is promoted.	1.1.3 Are the key technical officers clear on the relevance of M&E in the implementation of the CC program? Are they clear of their M&E supporting roles, if any?
	Is the objective of the M&E system to promote accountability and/or learning?	Merged with question below since 'alignment' is about making the necessary changes to meet the objectives, therefore the questions are linked.	1.1.4 Is the objective of the M&E system clear/explicit and are the practices and location of the M&E unit/staff ideal to promote the M&E objectives?
	Where is the M&E unit located?	Deleted	
1.2 Capacities	Are the gaps in the M&E capacities of the organization known?	Merged with question below. First is to acknowledge the gaps, but it is important to ensure that something is being done about it.	1.2.1 Are the gaps in the M&E capacities of the organization known and is there a plan in place to address the gaps?
	Is there a capacity building plan in place to enhance M&E capacities?	Deleted	
DIMENSION 2: UNIFIED SYSTEM (SUPPLY SIDE)			
2.1 Rationalization	Have efforts been taken to rationalize databases, indicators, information flows, roles and responsibilities and reporting requirements among the supply side players in the CCA and CCM M&E system?	Kept and expanded to reflect question below.	2.1.1 Have efforts been taken to rationalize databases, indicators, information flows, roles and responsibilities and reporting requirements among the supply side actors and with other development agendas?
	Have opportunities for rationalization of the CC M&E system with those of other development agendas been advanced?	Deleted	
	Are MRVs for various types of mitigation actions rationalized to reduce duplication of efforts?	Deleted and included as a 'qualification note' when looking at rationalization.	

Sub-Component	Questions	Amendment and Rationale	Final Questions
2.2 Coordination	Is there a functioning high-level M&E committee that provides political oversight?	Unchanged	2.2.1 Is there a functioning high-level M&E committee that provides political oversight?
	Are there technical committees to support indicator development, design and standardization of data collection tools and analysis of data for CCA and CCM components of the CC program?	Unchanged	2.2.2 Are there technical committees to support indicator development, design and standardization of data collection tools and analysis of data for CCA and CCM components of the CC program?
	Is there a coordination unit to support the various committees?	Unchanged	2.2.3 Is there a coordination unit to support the various committees?
	Does the membership of the committees include representatives from civil society, parliament, women's and men's groups, line ministries, and statistical office?	Unchanged	2.2.4 Does the membership of existing committees include representatives from civil society, parliament, women's and men's groups, line ministries, and statistical office?
Partnerships	Do partnership mechanisms (formal or informal) exist with donors, research institutions, lobby groups and other members of civil society (including gender groups)?	Deleted since it is included in the coordination sub-component	Dimension deleted
	Are donors using the M&E system that is in place for the CCA and CCM actions?	Deleted and reflected in the demand side dimension	
DIMENSION 3: RESULTS MEASUREMENT AND DATA MANAGEMENT			
3.1 Theory of Change	Is a theory of change elaborated for the CCA and CCM actions in the program?	Amended to include the importance of stakeholder participation since this is one of the strengths of the ToC approach	3.1.1 Is a theory of change elaborated for the CC program and was it developed using a participatory approach?
3.2 Indicator selection criterion and process	What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data?	Amended to include 'where applicable' since all indicators are not automatically gender sensitive.	3.2.1 What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data (where applicable)?
	Is the indicator development a participatory process? Is there adequate gender balance among the participants represented?	Gender balance in participation does not guarantee gender sensitive indicators. Further, gender balance is still context specific to regions of the world	3.2.2 Is the indicator development a participatory process?

Sub-Component	Questions	Amendment and Rationale	Final Questions
3.3 Indicator Types and coverage		New question since this issue was raised in the literature review for the tool but not reflected in the final checklist of questions	3.3.1 For the CCA component of the program: are indicators included that facilitate M&E of adaptive capacity and adaptation actions?
	Are the indicators wider than the scope of the program to track leakages and maladaptation practices?	Unchanged	3.3.2 Are the indicators wider than the scope of the program to track leakages and maladaptation practices?
		New question that promotes the benefits of qualitative and quantitative data	3.3.3 Is there a good mix of qualitative and quantitative indicators?
	Are process and outcome indicators included in the M&E plan?	Expanded to include output and impact indicators since the results chain of indicators are all important to support the different types of evaluation including implementation evaluation.	3.3.4 Is there process, outcome and impact level indicators
3.4 Baselines/reference scenarios	Do baselines exist for all indicators?	Unchanged	3.4.1 Do baselines exist for all indicators?
	Are baselines for CCA actions reviewed periodically in view of monitoring data?	Unchanged	3.4.2 Are baselines for CCA actions reviewed periodically in view of monitoring data?
	Are reference scenarios for CCM actions established based on appropriate BAU scenarios?	Unchanged	3.4.3 Are reference scenarios for CCM actions established based on appropriate BAU scenarios?
3.5 Targets	Do results-based targets exist? Do they reflect gender concerns?	Amended to be more sensitive to the fact that all targets are not automatically gender sensitive.	3.5.1 Do results-based (performance) targets exist for process, output and outcome level results and do they reflect gender concerns (as appropriate)?
	What are the timeframes?	Amended to be more explicit and reflective of the intent of the question. Original question deemed not clear.	3.5.2 Are targets updated based on improved climate projects and findings from monitoring data?
3.6 Database	Is there a database platform?	Unchanged	3.6.1 Is there a database platform?
	Is it accessible by data suppliers?	Unchanged	3.6.2 Is it accessible by SSA?
	Does it promote rationalization of existing databases/platforms?	Unchanged	3.6.3 Does it promote rationalization of databases/platforms?
3.7 Quality assurance	Do standards or guidelines exist to promote standardization of data and quality assurance?	Unchanged	3.7.1 Do standards or guidelines exist to promote standardization of data and quality assurance?
DIMENSION 4: PLANS AND BUDGET			

Sub-Component	Questions	Amendment and Rationale	Final Questions
4.1 M&E plan and guidelines	Is there a comprehensive M&E plan for the CC program that addresses both CCA and CCM?	Amended to include the value of promoting both the M and the E in M&E.	4.1.1 Is there a comprehensive M&E plan for the CC program that addresses both CCA and CCM and is M and E differentiated and promoted?
	Is the (central) agency's M&E plan linked with other supply side actor's M&E plans?	Unchanged	4.1.2 Is the (central) agency's M&E plan linked with other supply side actor's M&E plans?
	Do indicator protocols exist for the indicators?	Deleted since the dimensions of an indicator protocol are sufficiently addressed in the M&E plan	
	Is there continuous/frequent monitoring to detect changing baselines, targets and other CC-related uncertainties?	Amended to include mechanisms that legitimize the changes to baselines and targets.	4.1.3 Is there continuous/frequent monitoring to detect changing baselines, targets and other CC-related uncertainties and are there mechanisms in place to allow for updating as the circumstances dictate?
4.2 Costed M&E work plans and confirmed budget	Is there a costed work plan that exists for the M&E plan?	Unchanged	4.2.1 Is there a costed work plan that exists for the M&E plan?
		New question for this sub-component due to merging with the 'dedicated M&E funds' sub-component. The focus of the question also changed to be more specific to the M&E budget needs instead of an arbitrary % of the program budget going to M&E. The former gives a clearer picture of the sustainability of the M&E system.	4.2.2 What percentage of the costed M&E work plan is funded?
		New question for this sub-component due to the merging with the 'timeframe' sub-component. Question rephrased to be more explicit.	4.2.3 Does the duration of the M&E work plan extend beyond the timeframe of CCA projects making up the program?
Timeframe	Is the duration of the work plan cognizant of the timeframes of future climatic events to be addressed by the CCA program?	Deleted and merged with 4.2	
Dedicated M&E funds	What percentage of the CC program budget is dedicated to M&E?	Deleted and merged with 4.2	
DIMENSION 5: EVALUATION			
5.1 Evaluation policy and/or guidelines	Is there an evaluation policy and guidelines?	Unchanged	5.1.1 Is there an evaluation policy and/or guidelines?
5.2 Evaluation types and coverage	Are different types of evaluations promoted for the CC program?	Unchanged	5.2.1 Are different types of evaluations promoted/undertaken for the CC program?
		New question since this sub-component was merged with 'evaluation coverage'	5.2.2 Do evaluation objectives & questions place emphasis on examining adaptive capacity, adaptation actions, maladaptation and/or leakage, and difference in impacts due to gender?

Sub-Component	Questions	Amendment and Rationale	Final Questions
5.3 Independence and impartiality	Is independence and impartiality promoted in evaluations?	Unchanged	5.3.1 Is independence and impartiality promoted in evaluations?
Evaluation coverage	Do evaluation objectives & questions place emphasis on examining adaptive capacity, vulnerability, maladaptation and/or leakage, and difference in impacts due to gender?	Deleted and merged with 5.2	
5.4 Methodology	Is it clear which evaluation methodologies will be utilized?	Amended to reflect both CCA and CCM, thereby negating the need for the question below.	5.4.1 Is it clear which evaluation methodologies will be utilized for CCA and CCM and are they appropriate?
	Are the appropriate methodologies used for tracking emission levels for the respective sectors advancing emission reduction actions?	Deleted	
DIMENSION 6: VERIFICATION			
6.1 Processes/ Mechanisms/ Standards	Does the country have CDM, REDD+, NAMA or a combination?		6.1.1 Are the relevant verification experts/body/processes/ standards utilized for the particular emission reduction activity (CDM, REDD+) or reporting requirement (BURs, GHG inventories, NC)?
	Does an independent external body verify emission reduction actions related to CDM and/or REDD+?	Deleted and reflected in 6.1.1	
	Is an ICA undertaken for BUR reports including NAMA and REDD+ domestic activities?	Deleted and reflected in 6.1.1	
Standards	Are the CDM verification and validation standards met for CDM projects?	Deleted and reflected in 6.1.1. See 'standards' reflected in 6.1	
DIMENSION 7: DEMAND SIDE			
7.1 Users and Users' needs	Are the users of the M&E information identified and their decision-making needs known?	Slight change to include 'explicitly' indicating that effort have been taken to record/document user's needs	7.1.1 Are the users of the M&E information identified and their decision-making needs explicitly known?
	Are the users from internal, multilateral, international, civil society or a combination of these?	Deleted and included as a qualification note	
7.2 Use	Is the data collected converted into information that meets the needs of users?	Amended to include if information is adequately presented since it can be a symptom for extent of use	7.2.1 Is the data collected converted into information that meets the needs of users and is it presented in a suitable format?
	Is there evidence that the intended users are using the information?	Unchanged	7.2.2 Is there evidence that the intended users are using the information?

Sub-Component	Questions	Amendment and Rationale	Final Questions
Communication Strategy	Is there a communication strategy that addresses ‘who, what, how and when’ regarding M&E information dissemination?	Deleted and merged with Advocacy Strategy	
7.3 Report timeliness and formats	Are M&E reports available in a timely manner?	Amended to be a broad statement that captures this question as well as the next 3 questions	7.3.1 Are M&E reports for CCA and CCM available in a timely manner or within the established timeframes and do they meet the guidelines and formats, where stipulated?
	Is reporting on the BUR and National Communication (NC) completed within timeframes required?	Deleted and reflected in 7.3.1	
	Does reporting on the NC and BUR meet the guidelines and formats established?	Deleted and reflected in 7.3.1	
	Are the findings shared with policy makers and other grouping of stakeholders in the appropriate format?	Deleted and reflected in 7.3.1	
	Do reports have information presented in the context of gender?	Unchanged	7.3.2 Do reports have information presented in the context of gender?
7.4 M&E champions and counter-reformers	Who are the champions and counter-reformers for the M&E system?	Unchanged	7.4.1 Are the champions and counter-reformers for the M&E system identified?
	Are they located in government, civil society etc.?	Deleted and placed as a qualification note	
7.5 Advocacy and Communication Strategy	Does an M&E advocacy strategy exist?	Deleted and replaced by the question related to the communication strategy	7.5.1 Is there a communication strategy that addresses ‘who, what, how and when’ regarding M&E information dissemination and is it enforced/implemented?
		New to ensure the promotion of M&E since this is the raison d’être of the advocacy strategy	7.5.2 Does the strategy advocate for and build awareness about M&E in general?
	Is the treatment of counter-reformers explicit in the advocacy strategy?	Unchanged	7.5.3 Is the treatment of counter-reformers explicit in the advocacy strategy?

APPENDIX III – FINAL DIAGNOSTIC TOOL

Qualification Criteria for the Overall Average Performance Levels:

Value	Ordinal Scale	Meaning
0	Weak	None of the requirements are in place for almost all of the dimensions to achieve a functional M&E system
1	Partially Satisfactory	Minimum requirements are in place for majority of the dimensions and there are significant improvements to be made to achieve a sustainable and highly functional M&E system
2	Satisfactory	Up to approximately half of the requirements are in place for majority of the dimensions or there can be extreme cases of weak and excellent dimensions: both scenarios will still signal the need for improvements to achieve a sustainable and highly functional M&E system
3	Good	Up to approximately two-thirds of the requirements are in place for majority of the dimensions and there is some improvements that can be made; but the M&E system is currently well functioning and sustainable
4	Excellent	All of the requirements are in place for all of the dimensions and the M&E system is highly functional and sustainable

Final Questions, Qualification Criteria and Qualification Notes for the Diagnostic Tool:

Sub-Components	Questions	Performance Level	Qualification Criteria for Performance	Qualification Notes
1. Institutional Readiness				
1.1 Alignment	1.1.1 Is the organization mandated (legally or through a formal mechanism) to monitor and evaluate climate change actions?		0= none of 1.1.1-1.1.4 fulfilled 1= any 1 of the 4 areas(1.1.1-1.1.4) are fulfilled 2= any 2 of the 4 areas are fulfilled P 3= any 3 of the 4 areas are fulfilled 4= 1.1.1 to 1.1.4 are fulfilled	General comment: If one of the questions are not fully satisfied then it should not be considered as fulfilled; the notes should capture the level of progress for those dimensions only partially fulfilled.
	1.1.2 Are M&E roles and responsibilities explicitly assigned to staff/units?			<u>Formal mechanisms</u> to include through high level committees providing policy advice to the agency.
	1.1.3 Are the key technical officers clear on the relevance of M&E in the implementation of the CC program? Are they clear of their M&E supporting roles, if any?			1.1.1-1.1.4 are considered to have equal weighting therefore an increase in any combination of them results in an increase in the performance level.
	1.1.4 Is the objective of the M&E system clear/ explicit and are the practices and location of the M&E unit/staff ideal to promote the M&E objectives?			The main objectives of M&E systems are to promote accountability and/or learning (OECD/DAC, 1991)

1.2 Capacity	1.2.1 Are the gaps in the M&E capacities of the organization known and is there a plan in place to address the gaps?		<p>0= capacity gaps not known and no plan in place</p> <p>1= capacity gaps known but no plan in place</p> <p>2= capacity gaps known and draft plan in place, but not implemented to date</p> <p>3=capacity gaps known, final plan in place and implementation initiated</p> <p>4=capacity gaps known, plan in place and implementation well underway</p>	<p>Specialized skill for monitoring GHG emission is also a requirement.</p> <p>M&E capacity building plan can include hiring specialized staff and/or, training of existing staff to supplement needs.</p> <p>Draft plan= needs to be updated/finalized based on capacity assessments or a rapid assessment approach</p> <p>Final plan=designed based on assessments to reflect the true M&E needs</p>
Dimension Av. Score				
2. Unified System (Supply Side)				
2.1 Rationalization	2.1.1 Have efforts been taken to rationalize databases, indicators, information flows, roles and responsibilities and reporting requirements among the supply side actors and with other development agendas?	1	<p>0= no rationalization efforts</p> <p>1= rationalization with <=25% of supply side actors (SSA) and development agendas (optional)</p> <p>2=rationalization with 26-50% of SSA and significant development agendas</p> <p>3=rationalization with 51-75% and significant development agendas</p> <p>4=rationalization with 76-100% SSA and significant development agendas</p>	<p>“Rationalization may include the termination of activities that are not central to the implementation of the PRS, the consolidation of activities duplicated by various agencies, the adoption of common definitions for all actors in the system, a reduction in the number of data platforms used in the country, and so on” Bedi et al., 2006: 20.</p> <p>Rationalization of MRVs for National Communications and BURs are also important to keep an eye on.</p> <p>The # of SSA can be identified in M&E plans and/or documentation on the M&E system.</p> <p>The Lickert scale assumes that more rationalization= more buy-in, commitment and sustainability of the M&E system.</p>

2.2 Coordination	2.2.1 Is there a functioning high-level M&E committee that provides political oversight?		<p>0= no coordination committees exist 1= a coordination committee exists but it is not functional 2= a coordination committee exists and is functional 3 = coordination committees at the policy and technical levels exist, are functional, have a dedicated coordination unit but only include some stakeholders 4= coordination committees at the policy and technical levels exist, are highly functional, have a dedicated coordination unit and engage a wide cross section of stakeholders</p>	<p>This sub-component focuses on the types of committees that exist rather than the # of committees that exist since this is context specific.</p> <p>The main types of committees that should exist include a high level and technical committees with a coordination unit (Bedi et al., 2006).</p> <p>Functional mean that meetings are taking place and their purposes are being fulfilled eg. they are promoting harmonization and coordination.</p>
	2.2.2 Are there technical committees to support indicator development, design and standardization of data collection tools and analysis of data for CCA and CCM components of the CC program?			
	2.2.3 Is there a coordination unit to support the various committees?			
	2.2.4 Does the membership of existing committees include representatives from civil society, parliament, women's and men's groups, line ministries, and statistical office?			
Dimension Av. Score				

3. Results Measurement and Data Management				
3.1 Theory of Change	3.1.1 Is a theory of change elaborated for the CC program and was it developed using a participatory approach?		<p>0= no ToC exists</p> <p>1= a basic resemblance of a ToC exists</p> <p>2 = a ToC exists but was not developed following a participatory process</p> <p>3 = a TOC exists and was based on some level of stakeholder participatory</p> <p>4 = a well articulated ToC exists with clear assumptions, thresholds and causal pathways are wide enough to allow tracking of maladaptation practices/ leakages and it followed a highly participatory process</p>	<p>A common dimension of M&E for CCA and CCM is the importance of monitoring and evaluating 'maladaptation' in the case of CCA and 'leakage' in the case of CCM. There is growing consensus that using the theory of change (ToC) approaches is useful for framing evaluation questions that expand beyond the scope of the program to track leakages/maladaptation practices (Villanueva, 2011; Leagnavar et al., 2015; Wörlens, 2013).</p>
3.2 Indicator Selection Criterion and Process	3.2.1 What criterion is used for the indicators selection process and does it promote gender sensitivity and gender-disaggregation of data (where applicable)?		<p>0= no criterion used</p> <p>1= a criterion used but not consistently applied, no emphasis on gender and very limited engagement of stakeholders</p> <p>2= a criterion consistently applied, but it has no emphasis on gender and only some stakeholders engaged</p> <p>3= a criterion consistently applied that places emphasis on gender and stakeholders were engaged but 1 or 2 key groups were not consulted (Eg. civil society, private sector etc.)</p> <p>4= a criterion consistently applied that places emphasis on gender and there was a highly participatory process with almost all stakeholder groupings represented</p>	<p>Criterion selected needs to actively apply a gender lens to the indicators.</p> <p>A listing of the key stakeholder groupings that have a role to play in the delivery of the program or are beneficiaries needs to be identified.</p>
	3.2.2 Is the indicator development a participatory process?			

3.3 Indicator Types and Coverage	3.3.1 For the CCA component of the program: are indicators included that facilitate M&E of adaptive capacity and adaptation actions?		0= no indicators developed 1= 1 of 4 areas fulfilled 2= 2 of 4 areas fulfilled 3= 3 of 4 areas fulfilled 4= all 4 areas fulfilled	General comment at 1.1 applies.
	3.3.2 Are the indicators wider than the scope of the program to track leakages and maladaptation practices?			
	3.3.3 Is there a good mix of qualitative and quantitative indicators?			
	3.3.4 Is there process, output, outcome and impact level indicators			
3.4 Baselines/ Reference Scenarios	3.4.1 Do baselines exist for all indicators?		0= no baselines currently documented 1= baselines exist for some indicators (>50%) but are not reviewed periodically or informed by appropriate BAU scenarios (optional) 2= baselines exist for more indicators (between 50-70%) but are not reviewed periodically or informed by appropriate BAU scenarios (optional) 3= baselines exist for majority indicators (71-90%) and are reviewed periodically or informed by appropriate BAU scenarios (optional) 4= baselines exist for all indicators and are reviewed periodically or informed by appropriate BAU scenarios	Baselines for CCA interventions are not static since ecosystems undergo natural changes over time (Bours et al., 2014; UNDP, 2007).
	3.4.2 Are baselines for CCA actions reviewed periodically in view of monitoring data?			
	3.4.3 Are reference scenarios for CCM actions established based on appropriate BAU scenarios?			

3.5 Targets	3.5.1 Do results-based (performance) targets exist for process, output and outcome level results and do they reflect gender concerns (as appropriate)?		0= no targets established 1= some targets exist, but no emphasis on gender, if applicable 2= some targets exist, with emphasis on gender, if applicable 3= majority of targets exists, with emphasis on gender and they are routinely updated 4= all targets exist with emphasis on gender (as appropriate) and are routinely updated	“Most targets are set annually, but some could be set quarterly. Others could be set for longer periods. However, setting targets more than three to four years forward is not advisable. There are too many unknowns and risks with respect to resources and inputs to try to project target performance beyond three to four years. In short, be realistic when setting targets” (Kusek and Rist, 2004: 92).
	3.5.2 Are targets updated based on improved climate projects and findings from monitoring data?			
3.6 Database	3.6.1 Is there a database platform?		0= no database exists 1= a database platform exists but it is not accessible by SSA and it does not promote rationalization 2= a database platform exists that is accessible by some SSA and it promotes rationalization 3= a database platform exists that is accessible by majority SSA and it promotes rationalization 4= a database platform exists that is accessible by all SSA and strongly promotes rationalization	Rationalization here means that the database is able to pull information from other database sources OR, the database is sufficiently comprehensive enough to supplement needs of other agencies so that they do not require an additional database.
	3.6.2 Is it accessible by SSA?			
	3.6.3 Does it promote rationalization of databases/platforms?			
3.7 Quality assurance	3.7.1 Do standards or guidelines exist to promote standardization of data and quality assurance?		0= no standards/guidelines exists 1= standards exist but they are not enforced 2= standards exist but they are enforced in an ad hoc manner 3= standards exists and are enforced but there is room for improving on the standards 4= well developed and comprehensive standards exists that are promoted/enforced	These are procedures and guidelines that maintain integrity of data from point of collection to analysis for both monitoring and evaluation needs. Emphasis in scoring should be given to the level of enforcement. E.g there can be comprehensive standards with zero enforcement = 1

Dimension Av. Score				
4. Plans & Budget				
4.1 M&E plan	4.1.1 Is there a comprehensive M&E plan for the CC program that addresses both CCA and CCM and is M and E differentiated and promoted?	o	o= there is no comprehensive M&E plan 1= the details of the M&E plan are scattered across various documents and not implemented (or implemented in an ad hoc manner) 2= there is an M&E plan that addresses <u>some</u> of the components but linkages with SSA M&E plans are not explicit and monitoring is not frequent enough to detect changing baselines etc. 3= there is an M&E plan that addresses <u>majority</u> of the components and linkages with SSA M&E plans are explicit and monitoring is frequent enough to detect changing baselines etc. 4= there is an M&E plan that addresses <u>all</u> of the components and linkages with SSA M&E plans are explicit and monitoring is frequent enough to detect changing baselines etc.	The M&E plan should contain at minimum: the logical framework/ ToC; M&E questions to be addressed; indicators are to be measured; how, how often, from where/data sources; baselines/reference scenarios, targets, how the data will be analyzed or interpreted (M&E methodologies); reporting timeframes and guidelines; dissemination guidance; responsibilities for all the dimensions noted above are clearly identified in the M&E Plan (Görgens and Kusek, 2009).
	4.1.2 Is the (central) agency's M&E plan linked with other supply side actor's M&E plans?			
	4.1.3 Is there continuous/frequent monitoring to detect changing baselines, targets and other CC-related uncertainties and are there mechanisms in place to allow for updating as the circumstances dictate?			Targets and baselines should not just change without adequate justification and evidence and through a "mechanism" to add legitimacy. Mechanisms could include processes/committees to endorse the changes in the national CC program's baselines and targets.
4.2 Costed M&E work plan and confirmed budget	4.2.1 Is there a costed work plan that exists for the M&E plan?		o= no costed work plan 1= a costed work plan exists but no funding secured 2= a costed work plan exists with partial funding confirmed (up to 50%) 3= a costed work plan exists with majority funding confirmed (51-80%) and monitoring of CCA projects are extended to adequately evaluate effectiveness (optional) 4= a costed work plan exists that is fully funded and monitoring of CCA projects are extended to adequately evaluate effectiveness	"An M&E work plan is an activity-based budget showing M&E tasks, responsibilities, time frames, and costs. Put another way, the M&E work plan is a costed list of activities" (Görgens and Kusek, 2009:146).
	4.2.2 What percentage of the costed M&E work plan is funded?			
	4.2.3 Does the duration of the M&E work plan extend beyond the timeframe of CCA projects making up the program?			CC being a long-term phenomenon indicates that estimating the effectiveness of CCA interventions would need to be several years after the project (Bours et al., 2014; Dinshaw et al., 2014).

Dimension Av. Score				
5. Evaluation				
5.1 Evaluation policy and/or guidelines	5.1.1 Is there an evaluation policy and/or guidelines?		<p>0= no evaluation policy/guidelines</p> <p>1= a semblance of an evaluation policy exists but it is not enforced</p> <p>2= evaluation policy/guidelines exists that covers some of the dimensions (at least 5 of 8) and is enforced in an ad hoc manner</p> <p>3= evaluation policy/guidelines exists that covers majority of the dimensions (at least 6 of 8) and is fully enforced</p> <p>4= evaluation policy/guidelines exists that covers all the dimensions (and even more) and is fully enforced</p>	<p>Evaluation policies/guidelines should include the following (at least): (i) rationale for the policy, (ii) objectives of the policy, (iii) principles guiding evaluation, (iv) evaluation criteria, (v) guidance on implementation of the policy, (vi) dissemination of findings, (vii) evaluation standards and ethics to be promoted, (viii) oversight and management (adapted from Kusek and Rist, 2004: 204-210).</p> <p>These 8 components of a policy are considered to have equal weighting.</p>
5.2 Evaluation types and coverage	5.2.1 Are different types of evaluations promoted/undertaken for the CC program?		<p>0= 1 type of evaluation promoted/undertaken but with little or no emphasis on 5.2.2</p> <p>1= at least 2 types of evaluations promoted/undertaken but with little or no emphasis on 5.2.2</p> <p>2= at least 3-4 types of evaluations promoted/undertaken but with emphasis on a few of the areas noted at 5.2.2</p> <p>3= > 4 types of evaluations promoted/undertaken but with emphasis on some of the areas noted at 5.2.2</p> <p>4= > 5 types of evaluations promoted/undertaken but with emphasis on all of 5.2.2</p>	<p>Evaluation types include performance logic chain assessment, process implementation evaluation, rapid appraisal, case study, impact evaluation and meta-evaluation (Kusek and Rist, 2004: 121-122).</p> <p>Note: this information should be in the M&E Plan.</p>
	5.2.2 Do evaluation objectives & questions place emphasis on examining adaptive capacity, adaptation actions, maladaptation and/or leakage, and difference in impacts due to gender?			

5.3 Independence and impartiality	5.3.1 Is independence and impartiality promoted in evaluations?		<p>0= not promoted at all (policies, institutional set-up)</p> <p>1= independence and impartiality noted in relevant documents (policies, manuals) but not reflected in practice (set up of institutions, evidence from how evaluations were undertaken)</p> <p>2= independence and impartiality noted in relevant documents (policies, manuals) and institutional set up, but not in most of the stages of the evaluation (based on reports)</p> <p>3= independence and impartiality noted in relevant documents (policies, manuals) and institutional set up, and in most of the stages of the evaluation</p> <p>4= independence and impartiality fully embraced (in policy, institutional set-up eg. separate evaluation unit and safe-guarded in the entire evaluation process)</p>	<p>Independence and impartiality is critical for evaluation processes to promote credibility of the findings and legitimacy of the process. These principles are achieved by ensuring that management and execution functions are separated from evaluation units (OECD/DAC, 1991).</p> <p>"Requirement for impartiality and independence exists at all stages of the evaluation process, including the planning of the evaluation programme, the formulation of the terms of reference and the selection and approval of evaluation teams" (OECD/DAC, 1991:6).</p>
5.4 Methodology	5.4.1 Is it clear which evaluation methodologies will be utilized for CCA and CCM and are they appropriate?		<p>0=not explicitly stated or clear which evaluation methodologies will be used</p> <p>1= explicitly stated what methodology(ies) will be used but they are not appropriate</p> <p>2= explicitly stated what methodology(ies) will be used for one dimension only (CCA or CCM) and some are appropriate</p> <p>3= explicitly stated what methodology(ies) will be used for both dimensions (CCA or CCM) and most are appropriate</p> <p>4= explicitly stated what methodology(ies) will be used for both dimensions (CCA or CCM) and they are all appropriate</p>	<p>For CCM need to ensure that the state-of-art methodology is being used for the particular sectors advancing mitigation actions. UNFCCC methods on GHG inventories and emission reduction measurements by sector. See IPCC 2006 guidelines for guidelines on GHG inventories by sector. See https://cdm.unfccc.int/methodologies/index.html for CDM approved methodologies for various types of CDM activities.</p> <p>Note: this information should be in the M&E Plan.</p>

Dimension Av. Score				
6. Verification				
6.1 Processes/ Mechanisms/ Standards	6.1.1 Are the relevant verification experts/body/ processes/standards utilized for the particular emission reduction activity (CDM, REDD+) or reporting requirement (BURs, GHG inventories, NC)?		<p>0= no verification process being utilized</p> <p>2= some verification processes utilized for a combination of emission reduction activities and/or CCM reporting requirements (there is room for improvement)</p> <p>4= all the relevant verification processes are being utilized for the ongoing emission reduction activities and/or CCM reporting requirements</p>	<p>Recall, for developed countries, international expert review teams (ERTs) are used to verify those elements of the GHG inventories and national communications related to the KP and an international assessment review (IAR) is used for elements of the GHG inventories and NC related to the convention. BURs from developed countries are subject to IAR (UNFCCC, n.d. b). On the contrary, for developing countries, verification of BURs and NCs is performed by international consultation analysis (ICA) (UNFCCC, n.d. c).</p>
Dimension Av. Score				
7. Demand Side				
7.1 Users and Users' needs	7.1.1 Are the users of the M&E information identified and their decision-making needs explicitly known?		<p>0= no users explicitly identified and their needs known</p> <p>1= users explicitly identified but their decision-making needs are not explicitly known</p> <p>2= users explicitly identified and <u>some</u> of them, their decision-making needs are explicitly known</p> <p>3= users known and <u>majority</u> of them, their decision-making needs are explicitly known</p> <p>4= users known and <u>all</u> of them, their decision-making needs are explicitly known</p>	<p>Users should be from internal, multilateral, international, civil society organizations or a combination of these.</p> <p>Users could be estimated based on formal request for M&E information.</p> <p>Some = up to 50%</p> <p>Majority= up to 80%</p>

7.2 Use	7.2.1 Is the data collected converted into information that meets the needs of users and is it presented in a suitable format?		<p>0= none of 7.2.1 or 7.2.2 advanced</p> <p>1= data collected are not presented in suitable formats for different users and there is no evidence that users are using the information</p> <p>2= data collected are presented in suitable formats for some users and there is evidence that some users are using the information</p> <p>3= data collected are presented in suitable formats for majority users and there is evidence that majority users are using the information</p> <p>4= data collected are presented in suitable formats for all users and there is evidence that all users are using the information</p>	<p>Evidence of use of findings may include: informed changes in budgets, policies, programs/projects, planning, target audiences/beneficiaries, salaries, promotions, organizational design, and to a larger extent behavior but the latter is harder to confirm and attribute to the use of information.</p> <p>7.2.1 and 7.3.1 may seem to overlap. But 7.3.1 is more with donors and UNFCCC and meeting the agreed reporting formats and timeframes; whilst 7.2.1 is interested in information sharing with general public and civil society and ensuring their information needs are being met because they are also legitimate users of the M&E information.</p>
	7.2.2 Is there evidence that the intended users are using the information?			
7.3 Report timeliness and formats	7.3.1 Are M&E reports for CCA and CCM available in a timely manner or within the established timeframes and do they meet the guidelines and formats, where stipulated?		<p>0= no M&E reports to date</p> <p>1= M&E reports for CCA and CCM completed but not congruent with templates/guidelines and timeframes for submission and no emphasis on gender</p> <p>2= M&E reports for CCA and CCM completed but only partially congruent with templates/guidelines and timeframes for submission and no emphasis on gender</p> <p>3= M&E reports for CCA and CCM completed and mostly congruent with templates/guidelines and timeframes for submission and gender reflected</p> <p>4= M&E reports for CCA and CCM completed and fully congruent with templates/guidelines and timeframes for submission and gender reflected</p>	<p>M&E reports can be related to CCA (eg. NAPA) and CCM (eg. NC, BUR, NAMA)</p> <p>See UNFCCC (2014b) "Handbook on Measurement, Reporting and Verification for Developing Country Parties" for timeframes for national reports, which varies for developed, developing and SIDS countries.</p> <p>See IPCC 2006 Guidelines for reporting on GHG per sector; COP 8, New Delhi (2002) provide guidelines for preparing and reporting on NCs by Non-Annex I Parties</p> <p>COP 17, Durban Outcome (2011) provide guidelines for BURs by Non-Annex I Parties</p>
	7.3.2 Do reports have information presented in the context of gender?			
7.4 M&E champions and counter-reformers	7.4.1 Are the champions and counter-reformers for the M&E system identified?		<p>0=not explicitly identified</p> <p>1= only champions identified, no emphasis on counter reformers</p> <p>2= <u>some</u> champions and counter-reformers are identified</p> <p>3 = <u>majority</u> champions and counter-reformers are identified</p> <p>4= champions and counter-reformers are identified across all partner agencies that support the M&E system</p>	<p>"Champions in government are critical to the sustainability and success of a results-based M&E system." (Kusek and Risk, 2004: 44)</p> <p>Agencies that support the M&E system include users and supply side.</p> <p>Some = up to 50% (users+SSA)</p> <p>Majority= up to 80% (users+SSA)</p>

7.5 Advocacy and Communication Strategy	7.5.1 Is there a communication strategy that addresses 'who, what, how and when' regarding M&E information dissemination and is it enforced/implemented?		<p>0= no advocacy and communication strategy (ACS) exists 1= a semblance of an ACS exists but it is not enforced 2= an ACS exists that partially addresses the 4 areas (who, what, how and when) and is enforced in an ad hoc manner 3= an ACS exists that adequately addresses the 4 areas (who, what, how and when), advocates for M&E and targets M&E counter reformers and is fully enforced 4= a communication strategy exists that comprehensively addresses the 4 areas (who, what, how and when), advocates for M&E and targets M&E counter reformers and is fully enforced</p>	<p>semblance= some areas might be missing partially=the areas are addressed but there is room for major improvement adequately = areas as addressed but there is some room for improvement comprehensively= cutting edge approaches and very minor to no improvements needed</p>
	7.5.2 Does the strategy advocate for and build awareness about M&E in general?			Advocacy for M&E is essential to build a culture and enabling environment for the agency's M&E system to thrive (Görgens and Kusek, 2009).
	7.5.3 Is the treatment of counter-reformers explicit in the advocacy strategy?			
Dimension Av. Score				





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