

## **Terms of Reference**

### **Good Practice Study on Indicator Development, Selection and Use Principles for Climate Change Adaptation M&E**

#### **Climate-Eval Community of Practice**

**The Independent Evaluation Office of the Global Environment Facility on behalf of the Climate-Eval community of practice is undertaking a Good Practice Study on Indicator Development, Selection and Use Principles for Climate Change Adaptation M&E.**

The good practice study on indicator development, selection and use principles for climate change adaptation M&E will take place from August 2014 through to January 2015. This document is the Terms of Reference for the study in its entirety, while a work plan will be developed to assign elements of work to individual consultants and/or staff.

The draft report must be ready for the Second International Conference on Evaluating Climate Change and Development to be held in November 4-6, 2014. The final report will incorporate the discussion that will take place at the Conference and envisaged to be ready by December 19, 2014, depending on the amount of comments received. During the course of the study, the consultant(s) assigned to it will take into account contributions made by the members of the community of practice through on-line consultations such as email, blogging, and LinkedIn discussions.

The study aims to synthesize good practices in indicator development and selection principles, and use for climate change adaptation interventions. The study is guided by the following objectives:

1. Document experiences, lessons and principles of indicator development, selection, and use for climate change adaptation, and the monitoring and evaluation frameworks and contexts in which they are based;
2. Review and synthesize existing literature on categories of indicators according to the level of intervention, type/sector of climate change intervention, indicator use and anticipated change;
3. Identify other adaptation complexities and challenges that inform and influence the success of climate change adaptation interventions and the development, selection and use of indicators;
4. Provide a short exploratory review of what the study has delivered regarding policy relevance of indicators. Identify in an exploratory manner whether and where good practice has been especially successful in linking to policy formulation and decisions.

## **Background**

The Independent Evaluation Office of the GEF hosts Climate-Eval, a community of practice, whose domain of work is to improve the evaluation of climate change and development action through knowledge sharing and capacity building. Members of Climate-Eval are evaluation practitioners in the field of climate change from different institutions and countries. One of the goals of Climate-Eval is to initiate new developments on climate change evaluation standards and frameworks, and promote the initiative among interested individuals and organizations.

Adaptation to climate change often involves programs, projects and policies that try to minimize the impacts of climate change. Adaptation may take the form of livelihood security, disaster risk reduction or a combination of development objectives and adaptation measures. In developing countries funding for these types of projects mainly comes from financing institutions, and is implemented through governments and non-profit organizations. During the lifecycle of an intervention it is useful to know whether a project is on track, and also whether its implementation was successful. This is done through monitoring and evaluation.

## **Purpose of Study**

Evaluators encounter many conceptual and operational challenges when assessing adaptation interventions, such as: long timescales associated with climate change; lack of agreed upon definitions of adaptation success; moving baselines; complexity/ multi-sectoral nature of adaptation; confusion among process, outcome and output based indicators; and the context-specificity of locally measured indicators versus the need for aggregation for portfolio level assessments and comparative analyses. These difficulties apply at various levels of intervention: finance/portfolio, national, and project levels.

Additionally, some have noted two diverging – though not mutually exclusive - trends in adaptation indicators: general indicators that can be aggregated versus specific indicators closely linked to a program, which are not easily aggregated for country or global results. The trade-off between these trends of climate change adaptation indicators is currently being debated.

This Climate-Eval study will attempt to identify and address these issues and contribute towards the ongoing debate on the trends regarding indicators. One way by which it will do this will be by focusing on documenting the good practices and principles in the development, selection and use of indicators used in the M&E of adaptation interventions that are already out there. The study will also look at the steps and contexts that evaluators need to consider when formulating, selecting and/or adjusting and using indicators. In addition, the study will aim to identify common themes in the literature and gaps in data, including the identification of linkages (or lack thereof) between indicators and policy formulation and decisions.

A review of the state-of-the-art in climate change adaptation M&E will help identify priorities and promising indicator principles, with corresponding definitions and guidance for use that can demonstrate adaptation results at the project, national and portfolio levels.

## Tasks and Deliverables

In consultation with the Climate-Eval community, the terms of reference consists of the following tasks and deliverables to be completed by the completion date presented below:

### 1. Outline and literature review

Conduct the study by employing a stepped, iterative literature and feedback approach (Cooper 1998). This includes the reviewing of relevant literature with special attention to existing M&E frameworks of adaptation and developing principles of 'good practice' adaptation indicators. Also discuss the trade-off between general and program specific indicators.

**Deliverable 1a:** An outline identifying the general structure and different sections of the good practice study.

**Target completion date:** 29 August 2014.

**Deliverable 1b:** A literature review of the state-of-the-art on adaptation indicator principles towards the development, selection and use of these indicators, including an overview of categories of indicators, their use and practical examples of how various programs and/or organizations develop, select and/or use indicators in climate change adaptation settings.

**Target completion date:** 19 September 2014.

### 2. Draft report

Identify 'good practice' principles for developing, selecting and using indicators for various levels of adaptation interventions (project, national, and portfolio). Identify other adaptation complexities and challenges that inform and influence the success of climate change adaptation interventions and the selection and use of indicators. Also discuss whether and where good practice principles have been especially successful in linking to policy formulation and decisions.

**Deliverable 2:** Draft report, including the results of the literature review, a consolidated set of 'good practice' principles for the development, selection and use of indicators for adaptation and a discussion on whether these have been especially successful in linking to policy formulation and decisions, a set of assessment questions with a description of their appropriateness, and limitations, and guidelines on how to apply them to different levels of intervention.

If possible, early feedback from 'Deliverable 3a' should be incorporated in the draft report.

**Target completion date:** 17 October 2014.

### 3. Interaction and feedback

Use critical interpretive synthesis (Dixon-Woods et al. 2006, pp. 38-39; Flemming 2010, p. 202) to appraise quality of literature and indicator principles selected by opening up discussions through the Climate-Eval blog and LinkedIn discussion forum.

Present the findings of the study and a draft version of the study document at the Second International Conference on Evaluating Climate Change and Development. Also present the findings of the study in a webinar hosted by the Climate-Eval community of practice to reach Climate-Eval members who were not able to join the conference. Collect the feedback received.

**Deliverable 3a:** Three blog entries on the Climate-Eval blog/LinkedIn discussion forum. Feedback is collected and incorporated in the draft document, if applicable.

**Target completion date:** August to October 2014.

**Deliverable 3b:** A presentation of the study's findings at the Second International Conference on Evaluating Climate Change and Development. Feedback is collected and incorporated in the final study document, if applicable.

**Target completion date:** 5 November 2014.

**Deliverable 3c:** A webinar is hosted to inform the Climate-Eval members who could not be part of the conference. Feedback is collected and incorporated in final study document, if applicable.

**Target completion date:** 21 November 2014.

### **Final report**

Incorporate discussions and feedback received at the Second International Conference on Evaluating Climate Change and Development and the webinar into the final version of the study document. This creates an opportunity to reflect on findings of the study. Present the final document of the study in a webinar hosted by Climate-Eval community of practice.

**Deliverable 4a:** Final report, including the elements as set out in 'Deliverable 2', informed by the feedback received as part of 'Deliverables 3b and 3c'.

**Target completion date:** 19 December 2014.

*Note:* The deadline may be reconsidered, though not later than 30 January 2015, depending on the amount of comments/feedback received as part of 'Deliverables 3b and 3c'.

**Deliverable 4b:** A webinar is hosted to present the final report.

**Target completion date:** 19 December 2014 (30 January 2015. (See Note on Deliverable 4a).

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COOPER, 1998. *Synthesizing research: A guide for literature reviews*. 3rd ed. Thousand Oaks, CA: Sage Publications Inc.

DIXON-WOODS, M. et al., 2006. *How can systematic reviews incorporate qualitative research? A critical perspective*. *Qualitative Research*, 6, pp. 27-44.

FLEMMING, K., 2010. *Synthesis of quantitative and qualitative research: an example using critical interpretive synthesis*. *Journal of Advanced Nursing*, 66(1), pp. 201–217.