



# MODULE 8.1: PROCESS INDICATORS



*Empowered lives.  
Resilient nations.*

Supported by:



based on a decision of the German Bundestag



# Overview

- What are process indicators
- How can process indicators be used?
- Method for assessing process indicators using scorecards
- Country examples

# Type of indicators I

- **Process Indicators** indicators measure progress in implementing adaptation policies, plans, projects or changes in institutional decision-making capacity, which create an enabling environment for adaptation.

## AGRICULTURE

- **Outcome/ Results Indicators**

are used to evaluate whether or not the activity, plan or policy achieved the intended objectives or results.

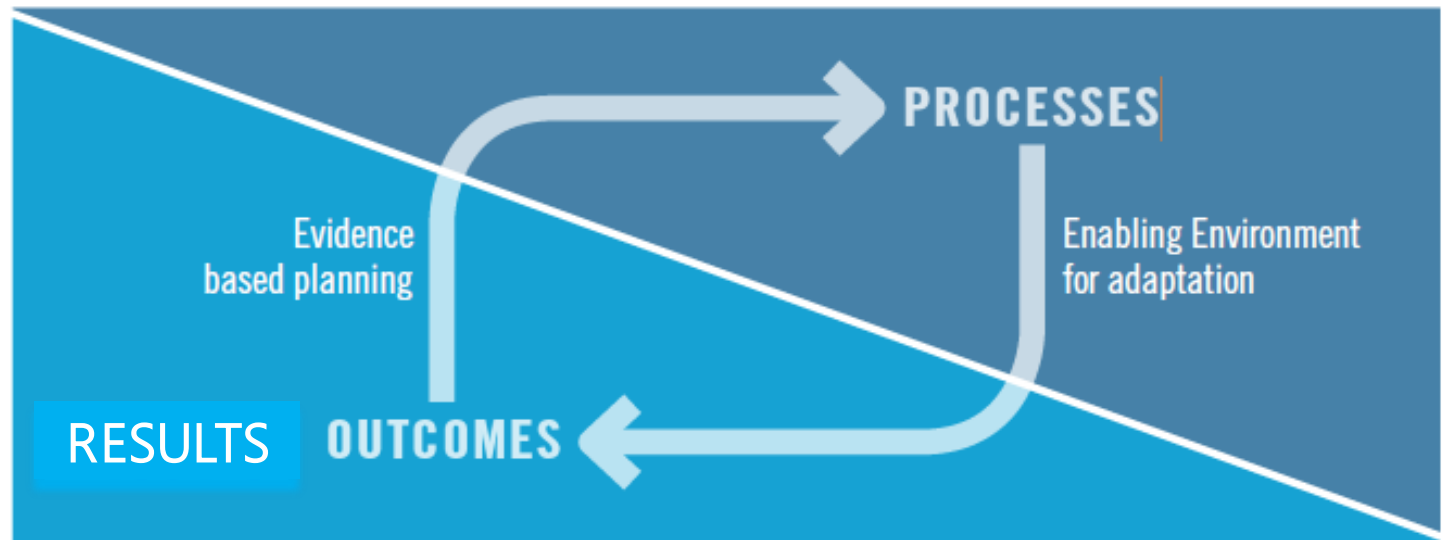
### ELEMENTS OF M&E FOR ADAPTATION IN

PROCESSES



OUTCOMES

RESULTS



Natural resources and ecosystems

Agricultural production systems

Socio-economics

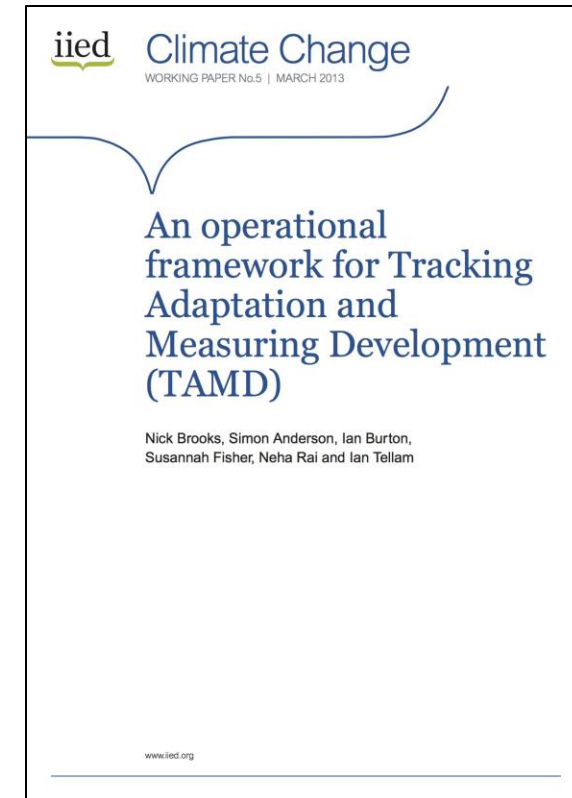
Institutions and policy

LOCAL



NATIONAL

- 1. Climate change mainstreaming/integration into planning**
- 2. Institutional coordination for integration**
- 3. Budgeting and finance**
- 4. Institutional knowledge/capacity**
- 5. Use of climate information**
- 6. Planning under uncertainty**
- 7. Participation (vertical and horizontal)**
- 8. Awareness among stakeholders**
- 9. Extent and quality of CRM measures**



1-9 supported by methodological notes available for download at <http://www.iied.org/tracking-adaptation-measuring-development>

# Example TAMD indicator

<b>Indicator 1. Climate change integration into planning</b> Representation of strategies that address climate change in relevant planning documents & processes	No	Partial	Yes
1. Is there a climate change plan or strategy set out in a dedicated strategy document and/or embedded in the principal planning documents at the level being assessed (e.g. national, sector, ministry)?			
2. Is there a formal (e.g. legal) requirement for climate change (adaptation/mitigation) to be integrated or mainstreamed into development planning (cf requirement for EIA for certain activities/projects)?			
3. Have specific measures to address climate change (adaptation/mitigation) been identified and funded?			
4. Are climate-relevant initiatives routinely screened for climate risks?			
5. Is there a formal climate safeguards system in place that integrates climate risk screening, climate risk assessment (where required), climate risk reduction measures (identification, prioritisation, implementation), evaluation and learning into planning?			
<b>Score</b> (No. of "YES" answers x 2, plus no. of "PARTIAL" answers x 1)			

From Brooks et al. 2013.

## National Climate Change M&E Framework

### Adaptação

I Indicador de Impacto- Índice de Vulnerabilidade

I.1.Redução do Risco Climático (4 Indicadores)

I.2.Recursos Hídricos (12 Indicadores)

I.3.Agricultura,Pescas e Segurança Alimentar (19 indicadores)

I.4.Protecção Social (5 indicadores)

I.5.Saúde (6 indicadores)

I.6.Biodiversidade (4 indicadores)

I.7.Floresta (3 indicadores)

I.8.Infraestruturas (9 indicadores)

### Mitigação

I Indicador de Impacto - Níveis de Emissao de CO2 per capita

2.1.Energia (16 indicadores)

2.2.Processos Industriais e Uso do Solo (3 indicadores)

2.3.Agricultura,Floresta e Uso do Solo (10 indicadores)

2.4.Resíduos (3 indicadores)

Criar a capacidade institucional e humana bem como explorar oportunidades de acesso a recursos tecnológicos e financeiros para implementar a ENAMMC

Integração das MC no processo de Planificação

Nível de Coordenação e resposta as Mudanças Climáticas

Capacitação Institucional e Gestão de Conhecimento para as Mudanças Climáticas

Nível de Planificação ao nível Local tendo em conta aspetos climáticos

Nível de inclusão de aspectos de Mudanças Climáticas no processo de Orçamentação em Moçambique

# Process indicators in results frameworks of climate funds

## Green Climate Fund (GCF)

- 5.0 Strengthened institutional and regulatory systems for climate responsive planning and development
- 6.0 Increased generation and use of climate information in decision making
- 7.0 Strengthened adaptive capacity and reduced exposure to climate risk
- 8.0 Awareness of climate threats and risk-reduction processes

## Global Environment Facility (GEF)

- Strengthen institutional and technical capacities for effective climate change adaptation outcome
- Integrate climate change adaptation into relevant policies, plans and associated processes environment

## UK International Climate Fund

- Level of integration of climate change in national planning as a result of ICF funding
- Level of institutional knowledge of climate change issues as a result of ICF support

## Pilot Programme for Climate Resilience (PPCR)

- Indicator 1: Degree of integration of climate change into national, including sector, planning
- Indicator 2: Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience

**Process indicators  
can be used to report  
against the MPGs of  
ETF**

## Adaptation information needs under ETF

A) National circumstances, institutional arrangements and legal frameworks

B) Impacts, risks and vulnerabilities

C) Adaptation priorities and barriers

D) Adaptation strategies, policies, plans, goals and actions to integrate adaptation into policies

E) Progress on implementation of adaptation

F) M&E of adaptation actions & processes

G) Info related to averting, minimising and addressing loss and damage

H) Cooperation, good practices, experience and lessons learned

I) Any other info related to impacts & adaptation



# HOW TO USE SCORECARDS



# TRACK1 indicators: National level – 5 Categorical Indicators

**Indicator 1: Climate policy and strategies**: Status of development of national CC policies, strategies and action plans.

**Indicator 2: Climate Integration into planning**: Inclusion of CC in long, medium (NSDP) & short term (PIP) planning.

**Indicator 3: Coordination**: Establishment and functionality of a national coordination mechanism.

**Indicator 4: Climate information**: Production, access & use.

Indicator 5: **Climate Integration into financing**.

# TRACK1 indicators- Approach

- **A Ladder based approach** - The sub indicators comprise of ladder-based parameters that reflects how the country is moving towards achieving its institutional milestones.
- **Use scorecards-** each ladder is scored using 'Yes' (2) or 'No' (0) or 'Partial' (1). A weighted percentage is calculated.
- **Narratives-** Scores will be aggregated to yield an overall score. Narratives are also used to understand the reasoning behind the score.



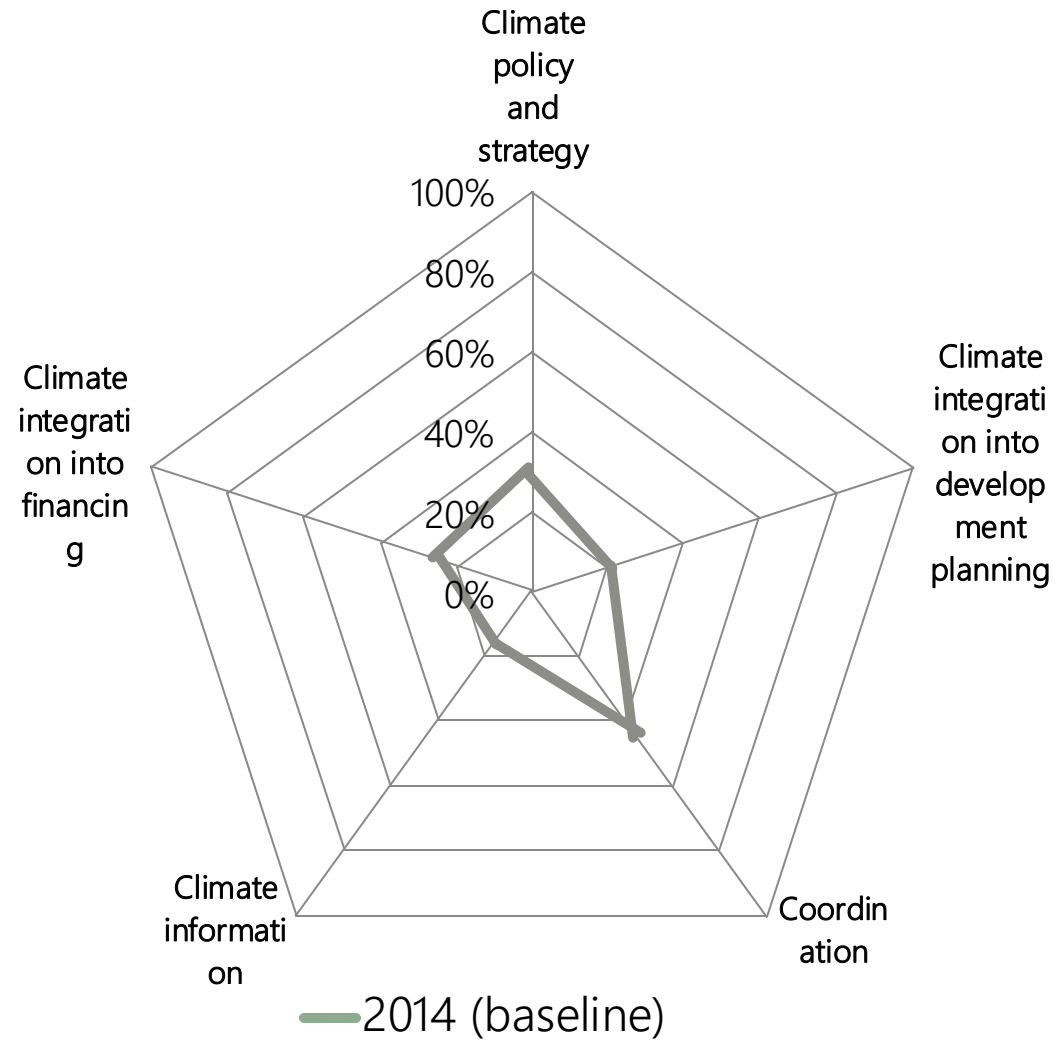
# Milestones & scoring example (Cambodia national CRM)

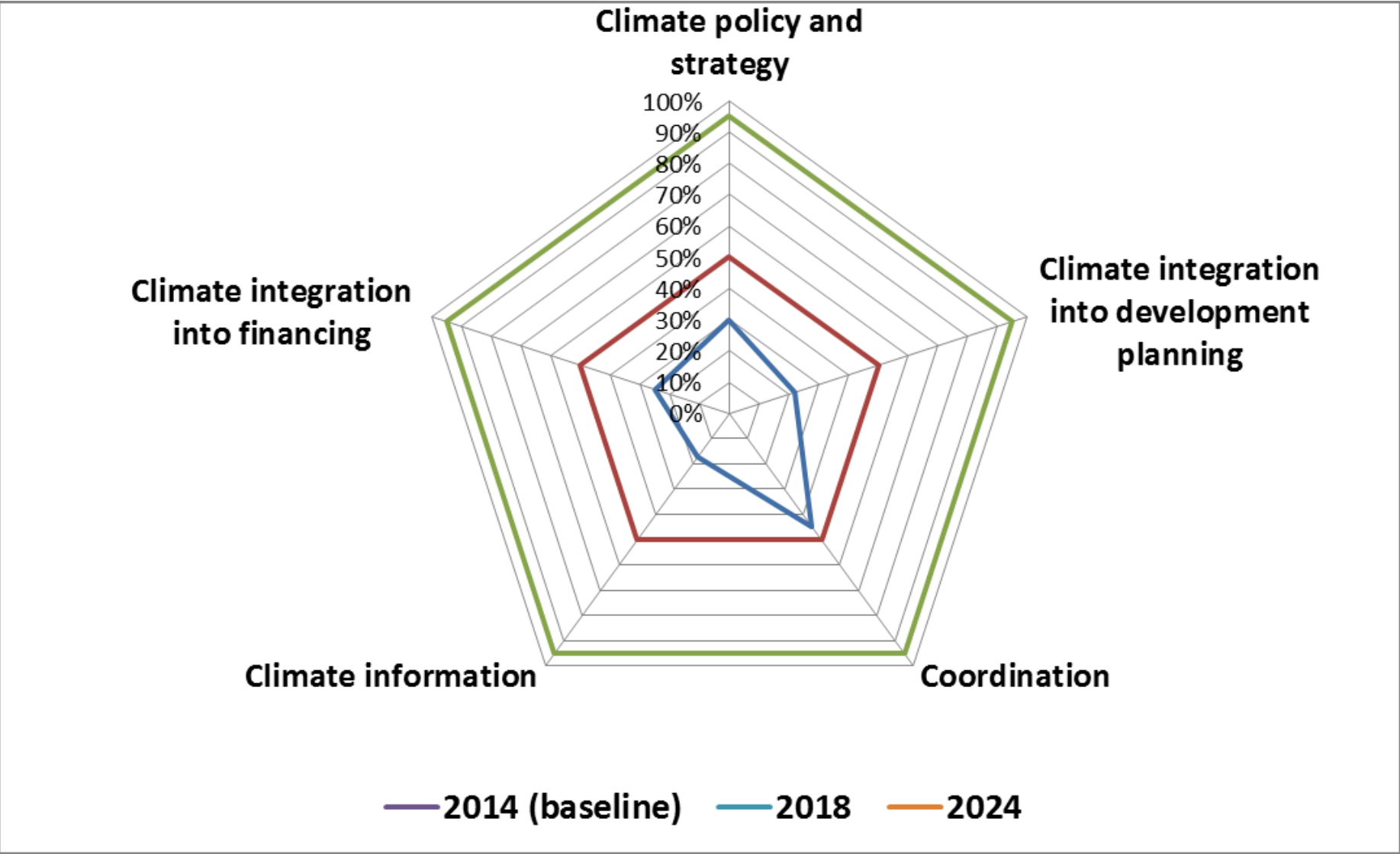
Indicator 1: Status of development of national policies, strategies and action plans for climate change response.

	Milestone	Yes/No/Partial	Supporting evidence/narrative
1	NAPA exists but adaptation response limited to project based approaches.	Yes	Approved in 2006. 2 projects implemented
2	National CC strategic plan integrating adaptation, DRR & mitigation response is approved.	Yes	
3	Other national CC Action Plans in development (NAP, NAMA).	Partial	Initial steps. Not fully scaled up.
4	A National M&E framework for CC is under development.	Partial	In the design phase.
5	9 sector CC action plans approved, more line agencies developing	No	Ongoing.
6	CC action plans updated based on evidence issued by M&E framework, new action plan prepared at end of planning cycle.	No	CC action plans are not implemented yet.
7	CCCSP progress monitoring reports are submitted to (to-be-identified) agency, in alignment with NSDP timeline.	No	CCCSP not implemented yet
8	Legislation that provides legal mandate for implementation of CC policy objectives is established.	No	In process
9	National CC strategic plan reviewed in 2018 based on evidence issued by the M&E framework.	No	Not yet
10	New strategic plan approved at end of planning cycle in 2024.	No	Not yet
Total score= (2Yes*2 + 2P*1)/10*2*1= 30%			

# TRACK1 indicators- Outcomes of Scoring

	Indicator	2014 baseline
1	Climate policy and strategy	30%
2	Climate integration into development planning	25%
3	Coordination	45%
4	Climate information	17%
5	Climate integration into financing	25%

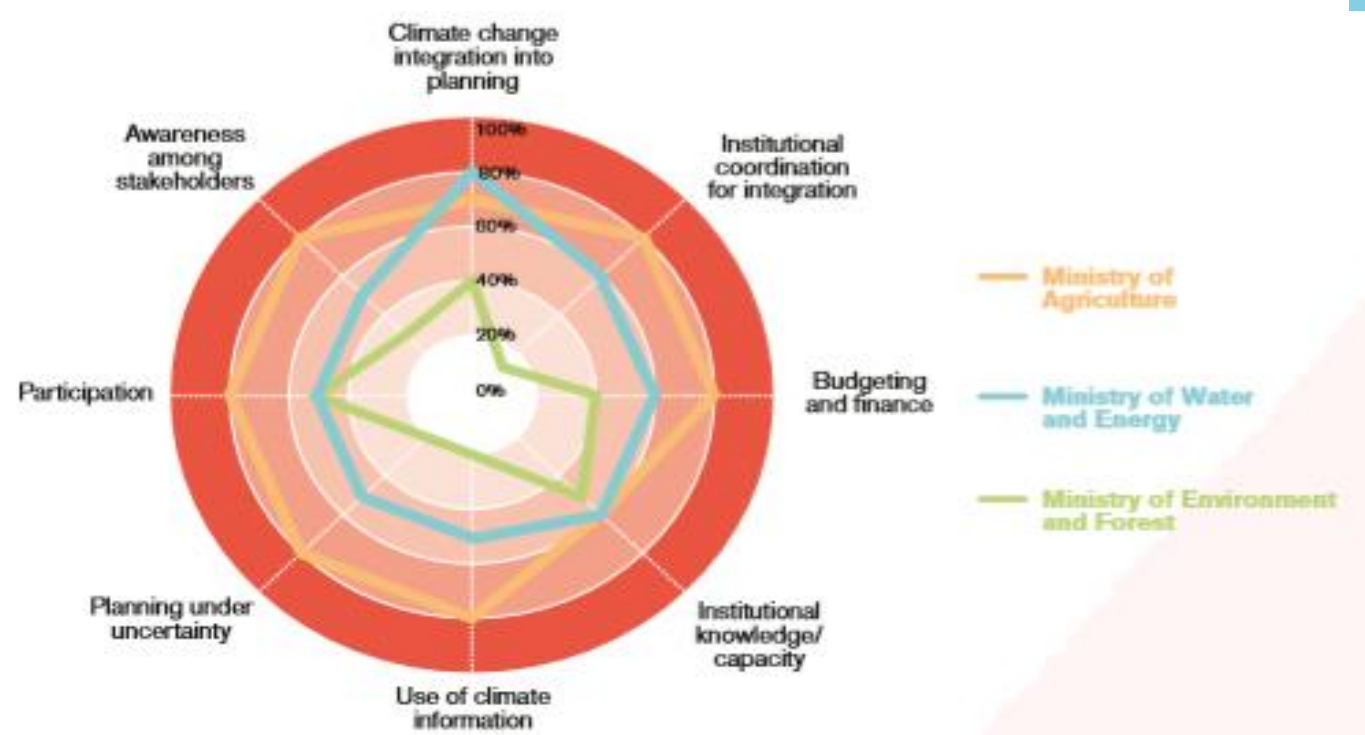




## 2. Level of inclusion of climate change in long, medium (NSDP) and short term (PIP) national and sub-national planning documents.

Step	Milestone	Y/N/P	Supporting evidence
1	CC is mentioned in NSDP 2009-2013 but no specific measures on fund allocation	Yes	
2	Response to CC is articulated in NSDP 2014-2018 and specific actions and indicators are included from CCCSP with related fund allocations	Partial	It is articulated but NSDP not yet approved but CCCSP indicators are included in NSDP.
3	Responsibility for CC integration in national M&E Framework is assigned within NIS/MoP.	No	There are preliminary discussions on it.
4	Climate are integrated into the PIP.	Partial	In the process. In consultation stages
5	Formal Procedures are in place in CDC for screening major donor and private sector investments against climate risk.	No	Some discussions.
6	Subnational (commune and district) budgets and planning guidelines integrate climate change.	No	1 pilot project in selected districts.
7	At least one third of the most vulnerable provinces budget in their Provincial Development Plans the climate change actions identified in the sectoral Climate Change Action Plans (CCAP)	No	To be confirmed
8	At least half of the most vulnerable provinces budget in their Provincial Development Plans the climate change actions identified in the sectoral CCAP.	No	
9	Almost all of the most vulnerable provinces budget in their Provincial	No	

# Example: Results of national level process assessment in Ethiopia



	Indicator	Score % for		
		Ministry of Agriculture	Ministry of Water and Energy	Ministry of Environment and Forest
1	Climate change integration into planning	70	80	40
2	Institutional coordination for integration	80	60	10
3	Budgeting and finance	80	60	40
4	Institutional knowledge/capacity	60	60	50
5	Use of climate information	80	50	20
6	Planning under uncertainty	80	50	20
7	Participation	80	50	50
8	Awareness among stakeholders	80	50	30





Food and Agriculture  
Organization of the  
United Nations



# THANK YOU

# FAO CBIT AFOLU TEAM

CAPACITY BUILDING INITIATIVE FOR TRANSPARENCY

FAO CBIT – AFOLU PROJECT

Contact: [MICCA@fao.org](mailto:MICCA@fao.org)



Nepal

Processes at sub national and project level

TRACK 1

Sub  
national

District & Village  
institutional level

Local project  
level  
institutions

Indicator 1: Climate Change mainstreaming into village and district planning

Indicator 2: Institutional coordination

Indicator 3: Budgeting and financing

Indicator 4: Institutional capacity of district and village staff

Indicator 5: Participation

Indicator 6: Stakeholder awareness amongst district, village and civil society

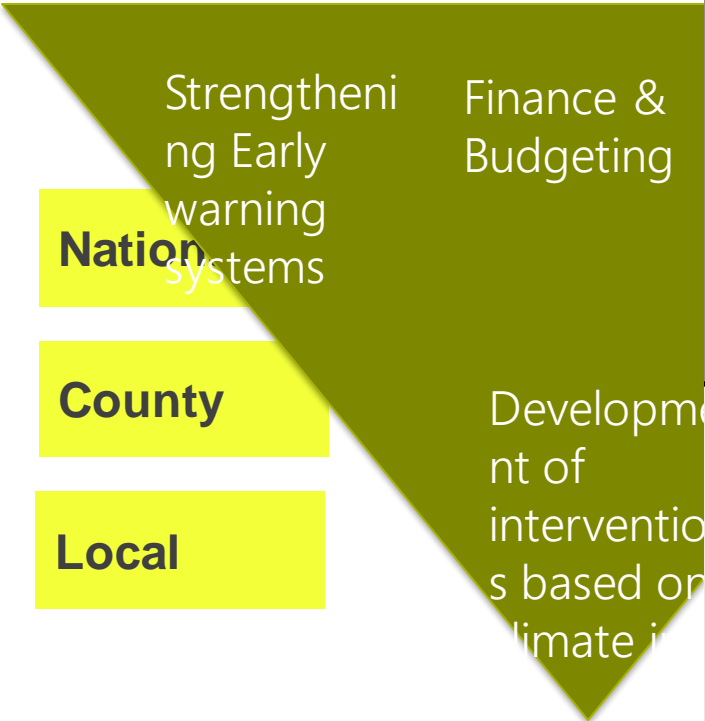
Indicator 7: Learning and Flexibility

Indicator 8: Business as usual functions of local systems - LGDCP

Kenya

CRM from

TRACK 1



Nation

County

Local

- Output
- Types and number of information and communication products
  - Percentage of population reached
  - DRR department established and operationalized
  - Policy document produced
  - Number of duplicated activities
  - Number of development agencies undertaking the same activities
  - Number of community project proposals developed and budgets justified
  - Number of dedhas established
  - Number of NRM meetings held

- Outcome
- Types, numbers and frequency of adjustments to climate change adaptation activities
  - Operational county contingency and DRR fund
  - Increase in number of projects targeting infrastructure & services on transport, health, water and sanitation, security, education, food security and income generation
  - Number of climate change projects financed through budget allocation

- Impact level
- % decrease in poverty levels at county and ward levels
  - Reduction of households requiring humanitarian assistance