

Advancing  
Integration  
series



Australian Government

Department of Foreign Affairs and Trade

# How to measure progress

Tracking integration: measuring  
development programme results

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# Preface: Advancing Integration

Donors supporting developing countries in the pursuit of sustainable development know that not all risks and eventualities can be predicted, managed and accounted for. Yet it is important to try and reduce these risks by understanding: the complexity of the context in which aid dollars are spent; and the routes to achieving better development outcomes, by adding value to what is already being done by partner governments.

In 2012, Australian aid\* and the Overseas Development Institute (ODI)

established a partnership to strengthen the way natural hazards, environment and climate change risks are considered in development programmes and decision-making processes. Tools, guidance and new evidence was generated to improve integration of disasters, environment and climate change adaptation and mitigation (DEC) in aid programming. The Advancing Integration programme (2012–2014) began with an assessment of *Existing knowledge* and consideration of *How to measure*

*progress*. This draws on the latest evidence on how best to integrate DEC and provides staff managing overseas aid programmes with guidelines on how to identify opportunities for making further progress on integration.

Policy priorities and programme strategies are set within a complex web of relationships between donor headquarters, donor country offices and recipient country governments. Development priorities are identified in country programmes; and it is here that the opportunities and barriers to DEC

## A map of our journey

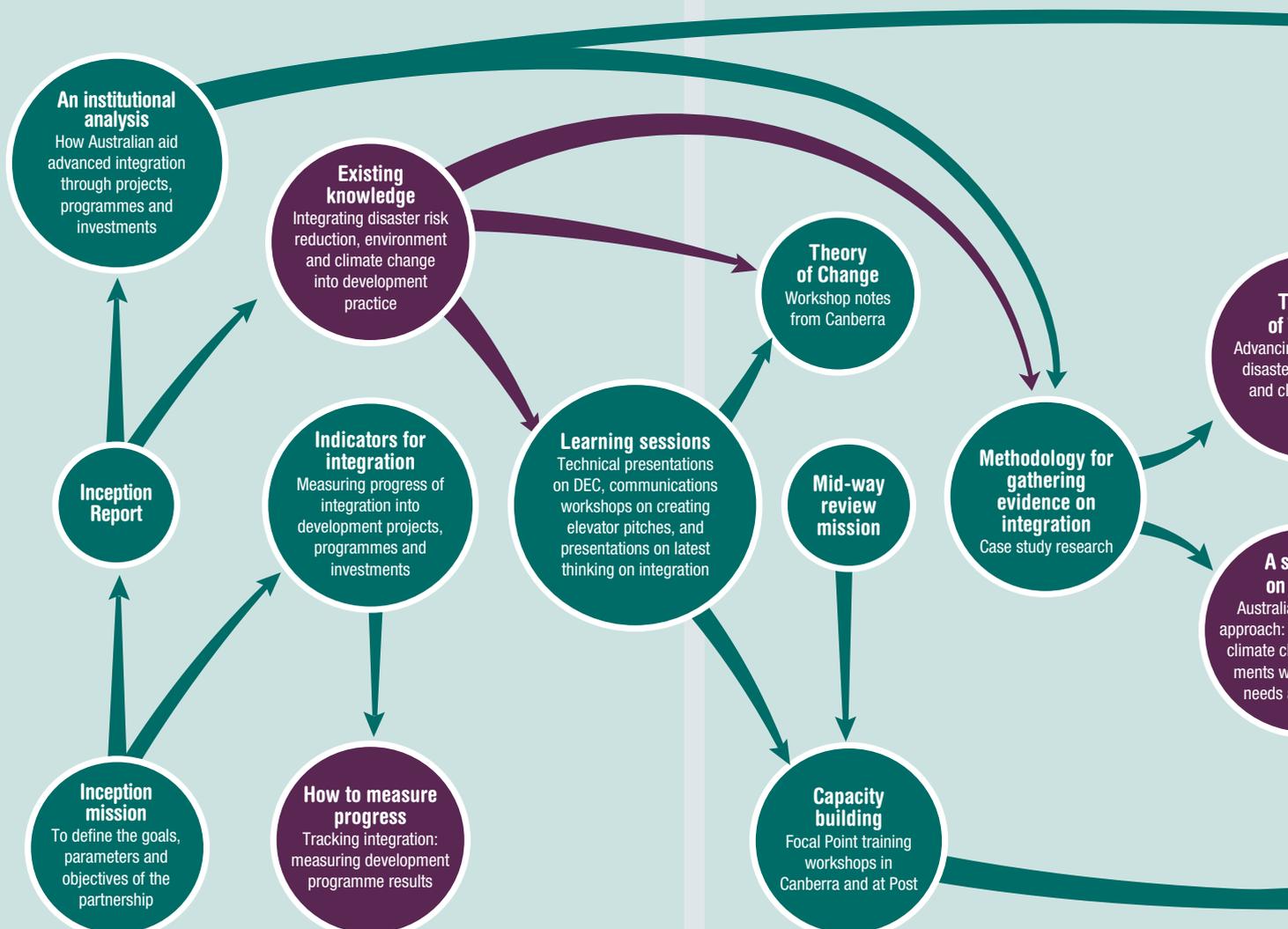
Integrated approaches to development: disaster risk reduction, environment and climate change adaptation and mitigation (DEC integration)

### FIRST

Investigate and learn from past experience to make the most of existing knowledge and define how to measure integration

### SECOND

Challenge existing knowledge through grounded research and



integration need to be considered. Original research was thus undertaken in a number of locations, including: *The case of Vanuatu* and *The case of Viet Nam*, as well as secondary research putting *A spotlight on South Asia* and *A spotlight on Kiribati*. Together, this material helped to ground and inform a set of products (see map of our journey) which reflect the reality of aid programming in a range of different, complex contexts.

A set of tailor-made tools and guidance notes have been created to enable staff managing Australian aid to strengthen DEC integration and

improve the sustainability and effectiveness of development programmes.

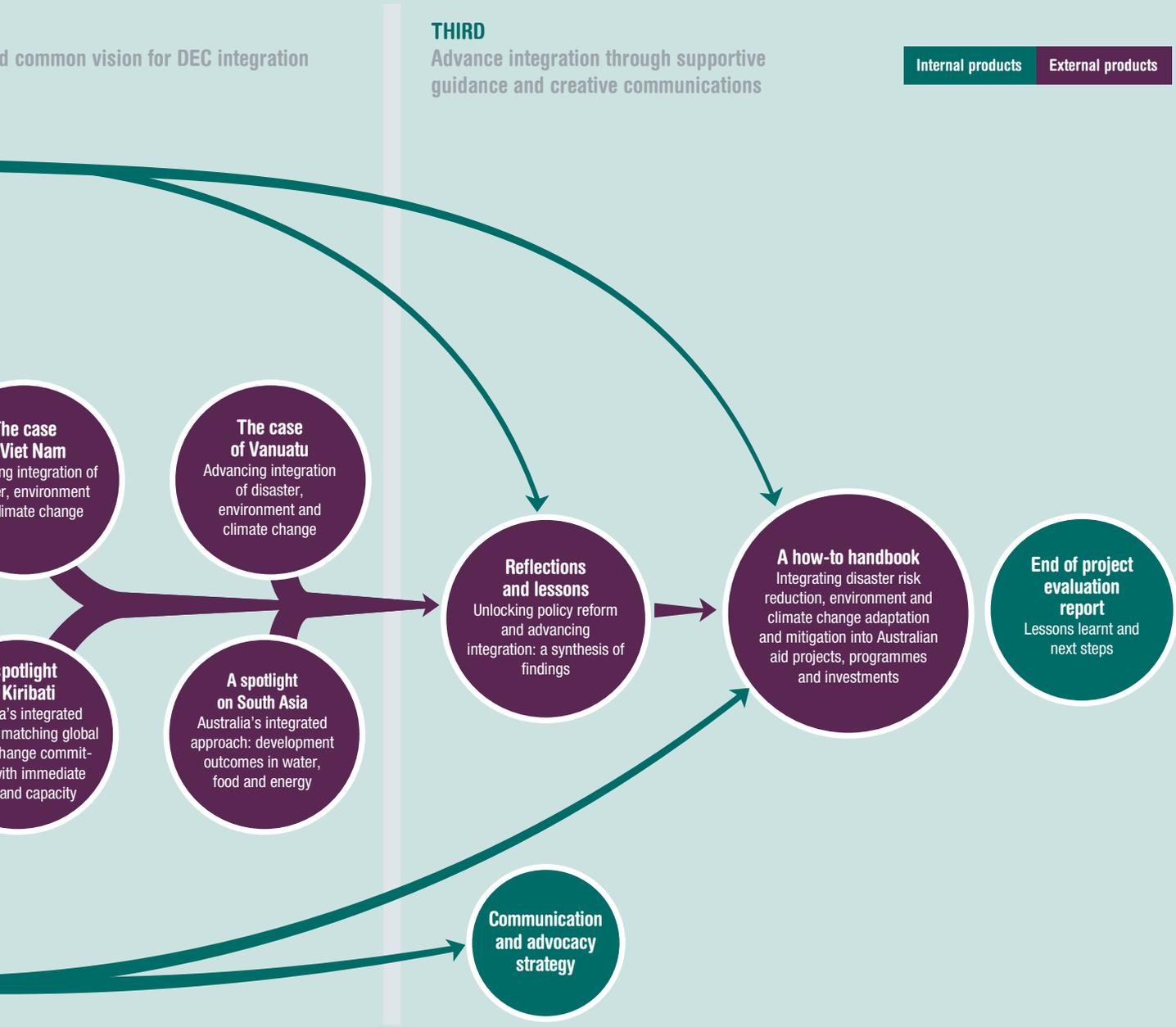
*A how-to handbook* for integration, for example, guides staff through assessment, analysis and action, and includes a directory of tools for further resources.

As the Department of Foreign Affairs and Trade (DFAT) harness opportunities to integrate DEC in the future, the journey and progress made over the duration of the partnership will provide valuable insights into the lessons and challenges of integration for like-minded donor governments. A

synthesis report of *Reflections and lessons* provides useful insights for others searching for a more systematic way to incorporate disasters, environment and climate change issues in their work.

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\*Australian Agency for International Development (AusAID) was the Australian Government's implementing agency at the time the programmes were reviewed and since 1 November 2013 is incorporated with the DFAT.



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# Acronyms

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ADB	Asian Development Bank
AusAID	Australian Agency for International Development
CCA	Climate change adaptation
CED	Climate and Environment Department
CEDRA	Climate Change and Environment Degradation Risk and Adaptation Assessment
CIF	Climate Investment Funds
CRM	Climate risk management
DAC	Development Assistance Committee
DEC	Disaster risk reduction, environment and climate change adaptation and mitigation
DFAT	Department of Foreign Affairs and Trade
DFID	Department for International Development
DRR	Disaster risk reduction
GIZ	Gesellschaft für Internationale Zusammenarbeit
IIED	International Institute for Environment and Development
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
OECD	Organisation for Economic Co-operation and Development
PAF	Performance Assessment Frameworks
RBM	Results Based Management
PPCR	Pilot Programme for Climate Resilience
SPR	Strategic Programme Review
TAMD	Tracking Adaptation and Measuring Development
UNDP	United Nations Development Programme



# Abstract

Clear evidence of results achieved is increasingly important in contemporary development efforts to justify aid expenditures. At the same time, there is increasing recognition for development initiatives to account for the unavoidable impacts of disasters, the environment and climate change on socio-economic and natural resource systems, ecosystem services and people. These issues offer an opportunity for designing and implementing more effective forms of monitoring and evaluation (M&E). These can foster the integration of disaster risk reduction,

Environment and Climate change adaptation and mitigation (DEC) into longer-term development interventions. However, putting this into practice is not necessarily an easy task, and many challenges lie ahead. In this paper, we explore how DFAT can make the most of M&E in relation to DEC integration. This includes: understanding the opportunities M&E can offer; identifying areas for improvements to make the most of such opportunities; studying what other agencies are doing; and identifying steps forward for DFAT.



# 1 Introduction

The integration of disaster risk reduction, environment and climate change adaptation and mitigation (DEC) considerations within development processes is an important issue for policy development and practice. Policy makers increasingly recognise the need for development pathways to account for the unavoidable impacts of climate change, disasters and the environment on socio-economic and natural resource systems, ecosystem services and people. With this comes a growing need for M&E frameworks that enable these stakeholders to assess the effectiveness of development investments<sup>1</sup>.

Frameworks of DEC integration are still novel and untested. There is little clear guidance on how to assess the trade-offs and synergies between these fields in policy and practice. Most importantly perhaps, we don't know what the potential benefits of integration might be.

M&E has a critical role to play as stakeholders seek to ensure that aid investments are effective in building climate and disaster resilience. How do we account for success and learn from failures and missed opportunities as we confront the complexities and uncertainties of changing risk? How do we know when we are building resilience? To what extent are we succeeding? M&E provides an opportunity to address each of these questions.

This paper is about making the most of that opportunity, by:

- Understanding the opportunities M&E can offer to policy makers and practitioners.
- Identifying areas for improvements to make the most of such opportunities.
- Learning from other organisations.
- Identifying steps forward for DFAT.

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<sup>1</sup> See for example: DFID (2012). Building resilience and improving our responses to humanitarian emergencies through innovation and better use of evidence. Accessed online at [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/67439/prom-innov-evi-bas-appr-build-res-resp-hum-cris-summary.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67439/prom-innov-evi-bas-appr-build-res-resp-hum-cris-summary.pdf). World Bank (2012) Resilience, Equity and Opportunity, Social Protection and Labour Strategy 2012 – 2022. Accessed online at <http://siteresources.worldbank.org/SOCIALPROTECTION/Resources/>

# 2 Why are M&E frameworks useful for improved development progress and DEC integration?

Monitoring and Evaluation is a critical current concern of the donor community due to the need to provide substantive evidence of results. Through comprehensive M&E we can address the urgent need to improve our understanding of development results in the context of DEC risks.

M&E has developed on the fringes of international development work. In the context of increasing risk, however, more attention is being paid to the need for empirical evidence to enhance results and impact. For funders, M&E is critical to ensuring that interventions they support make efficient use of funds and have a long-term positive impact on development. For planners, it provides evidence to inform strategic decision-making.

M&E approaches can measure both institutional capacities required for DEC integration and implementation effectiveness. First, improved performance assessment frameworks (PAFs) could incorporate an understanding of the institutional, government and civil society capacity to take on board DEC considerations and to integrate these into decision-making. Second, frameworks measuring how far integration has been achieved will allow effective target setting and achievement. We address both of these areas in turn.

## Improve M&E of development processes as a whole

The objective of integrating DEC considerations into aid investments is to keep development achievements on track. There is no doubt that comprehensive development programmes that aim to promote and transform livelihoods and sustainable economic growth require an understanding of DEC risks. Evaluating aid effectiveness therefore requires a holistic evaluation of the multidimensional nature of development processes. The integration of DEC considerations into development investments encompasses a wide variety of measures, processes and actions, and this diversity needs to be reflected in any M&E framework of development investments.

Instead of looking at specific problems in isolation, as conventional sectoral approaches often do, an M&E approach that accounts for DEC considerations requires us to reflect on a number of different issues and perspectives all together. In this way, it can help us to understand investment results that are more in tune with the shifting dynamics of the development context. As a result, the planning, implementation and measurement of development interventions before and after an intervention may need to account for the effects of changing risk contexts in order to give an accurate picture of the impacts of the intervention.

## Support flexible and integrated planning processes

The realities that development must accommodate, including environmental conditions, disasters and climate risks, are constantly changing. Much development work has traditionally been supported via time-bound, sector- and output-focused projects. However, growing doubts about the effectiveness of projects has fed interest in more flexible and integrated programme approaches.

M&E for development programmes that consider DEC issues requires an iterative and integrated planning and M&E process, to understand the extent to which integration is already happening, how it can be improved, what changes are required, and whether actions towards integration are delivering better integrated policies, plans and practice.

In order to support sustainable development outcomes, the integration of DEC consideration into development interventions must enable flexible and integrated planning processes that combine development and DEC risk management frameworks. M&E of development interventions therefore has to measure how well DEC considerations are integrated into development investments, and how well development performs under increasing DEC challenges.

## Generate an evidence base

Integrating DEC issues into development planning has been promoted as an effective way to contribute to sustainable development impacts. The expected benefits include, for example: fewer policy conflicts; reduced risks and vulnerability; greater efficiency compared with managing issues separately; and leverage of much larger financial flows in sectors affected by DEC risks than the amounts available for financing DEC separately.

But when and to what extent is integration of DEC effective as a development intervention in practice and policy? In spite of the growing claims that DEC integration improves development outcomes, evidence to support such statements remains limited. The implementation of integrated programmes is still in its initial phase and the evaluation of benefits remains limited to anecdotal case studies and conceptual hypotheses. There is a need to understand the trade-offs that exist when integrating DEC into aid investments, though the full extent of these trade-offs are still not known<sup>2</sup>. For example, at the design and implementation level, integration can be thought of as complicating internal procedures with additional requirements or considerations, or as raising costs. Integration of DEC issues could also prove difficult to carry out because of direct trade-offs in certain cases between development priorities and the actions required to deal with DEC risks. For instance, Arrow et al. (2004) refer to these trade-offs as 'opportunity costs' and argue that DEC decisions can reduce the effective resources available when these are scarce.

Evaluations of integrated programmes are needed to better understand the synergies and trade-offs among outcomes in order to guide decision-making. The recognition of how DEC is likely to influence other development priorities may be a first step towards building integrated M&E frameworks.

## Facilitate organisational learning

Many managers do not engage closely with M&E efforts and do not consider M&E as useful for supporting their management responsibilities. Yet the M&E stages present opportunities to generate new knowledge, support learning, question assumptions and motivate broader organisational/policy or programming changes<sup>3</sup>. The growing interest in 'value for money' and the effectiveness of integrated programmes opens a window of opportunity for donor organisations to foster organisational learning and dialogue about M&E.

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2 Mitchell, T., Van Aalst, M. and Silva Villanueva, P., (2010b). Assessing progress on integrating disaster risk reduction and climate change adaptation in development processes: Strengthening Climate Resilience. Discussion Paper Vol.2. IDS.

3 Guijt, I. (2007). Assessing and Learning for Social Change: A discussion Paper. IDS. Accessed online at <http://www.ids.ac.uk/index.cfm?objectid=3DE55E83-5056-8171-7B415B53F36972F5>

# 3 Challenges for measuring success

Monitoring and Evaluation in the context of DEC is gaining increasing attention and traction in development circles. Yet there remains a vast gap between theory and practice. Almost universally, donors, development organisations, project managers and development practitioners want to see better M&E. But this does not come easily.

Conventionally, M&E has involved the measurement of pre-set indicators, using standardised procedures and tools. Interest in a new approach to M&E has emerged because of a recognition of the limitations of conventional M&E approaches, particularly in relation to increased uncertainty as a result of climate change.

## Lack of international agreement about the principles for evaluation

There are still several unknown factors with regard to monitoring and evaluating integrated development programmes. In particular, although the need for integration is widely acknowledged, it remains a rather vague concept. As a result, it is not yet clear how development programmes in the context of DEC may be evaluated successfully and effectively. Much attention has been given to the concept of integration, but this needs effective evaluation measurement tools

## We don't know what we don't know: dealing with uncertainty

We are working in an uncertain environment. The development context is inevitably one of rapid social and environmental change. Growing climatic variability and the many uncertainties associated with climate change mean that there are limits to the effectiveness of conventional detailed, one-off, static planning processes. Policies and programmes will take place against a backdrop of an evolving

hazard profile, which may become more frequent, severe and unpredictable. The assumptions, conditions and expectations at the start of an intervention are now even more unlikely to remain true for its duration or beyond.

Accepting the reality of living with uncertainty has implications for the way in which planning, management and M&E processes are conceived. The limitations of existing M&E practices and methods for tracing progress have been widely acknowledged by the research and donor community. In a scenario characterised by high levels of risks and uncertainty, neither means nor ends can be fully known in advance.

## Embracing complexity

It is crucial to recognise the complexity of the context within which development efforts take place. The changes are not predictable and are often surprising, even after thorough analysis and strategic planning. Very often, programmes produce results that were either unforeseen or unanticipated. These types of scenarios create specific challenges for M&E in the context of DEC.

Result Based Management (RBM), the Logical Framework Approach (LFA), and the accompanying log frame are the most common approaches used by the agencies to distinguish between outcomes, outputs and activities. RBM and LFA presuppose a set of specific objectives, and a set of clear linear cause and effect relationships to achieve these objectives. While these models may be appropriate for certain aspects of projects, at the programme and organisational level, a more complex and less linear development path exists. At local level, practitioners are dealing with highly complex and dynamic economic, social and cultural contexts, needing to navigate fast-changing and in many cases unpredictable landscapes of opportunities and risks.

Current M&E systems often become an additional burden of data collection, which may be irrelevant or outdated. Data collection is often tied to predefined and rigid work plans and log frames, decoupled from realities and needs on the ground. In addition, DFAT has cross-cutting objectives. For example, social protection or infrastructure investments relate to a number of DEC issues, such as disaster proofing investments, local development planning, environmental impact assessments, watershed management planning and local economic development. Such important outcomes are often 'not measured' in evaluation processes, missing an invaluable opportunity to capture the whole spectrum of DFAT investments impacts.

It is important not to see the complexity of the real world as an impossible challenge for M&E, but as a critical 'lens' through which to make more appropriate simplifications, to obtain more and new useful insights about the context we work with, and to increase the effectiveness and efficiency of our work. Simplification by reducing, negating or ignoring complexity will not be effective. Accepting and embracing complexity is essential, and designing flexible, responsive, simple and useful M&E systems is the challenge.

### Long-term horizons

The ultimate indication of successful DEC integration for DFAT is the achievement of the development goals. This will only become apparent in the longer term. Clear differentiation between layers of results is particularly important in the context of DEC, where short and intermediate objectives contribute to long-term outcomes that may not materialise until far into the future. Even more important is to remember that short-term benefits may bring negative consequences in the long-term. For example, the use of certain technologies may have potential trade-offs with environmental sustainability and vice versa. These links and trade-offs should, of course, be evaluated explicitly elsewhere in project design, but backup with holistic M&E systems that measure both the short and long term is essential.

### The 'what to measure' question

M&E drives what is measured and how (indicators).<sup>4</sup> If we are assessing the effectiveness of learning, we need to check what works and what does not. If we are assessing 'success' of a programme, we need to

### A more complex story of a range of interacting factors must be told to explain impact in a meaningful manner.

As one moves from assessing inputs to outputs, outcomes and eventually tracking impacts, it becomes increasingly difficult, if not impossible, to define simple, meaningful and easily measurable indicators. Usually, indicators which are designed to verify expected changes are different from those designed to understand. A focus on the latter is able to capture both the expected and the unexpected, as well as the positive and negative changes that are taking place, where indicators are seen more as 'areas of enquiry', rather than the more closed tick-box type of indicator.

check if objectives have been achieved (although this is challenging as the principles of 'successful' DEC integration have not yet been defined). Likewise, if we wish to make decisions on DEC investments, indicators will have to be different. Thus, indicators for assessing DFAT's effectiveness would vary with the purpose of each assessment. But if the objective of integrating DEC into aid investments is to keep development achievements on track, a different set of indicators is required.

The evaluation of development investments involves assessing the impacts on the vulnerability of populations (as well as on the natural systems on which they depend) to risks associated with DEC, or evaluating how development interventions have affected outcomes associated with such risks (e.g. numbers of people killed or economic assets lost in climate-related disasters)<sup>5</sup>. Evaluation of vulnerability as opposed to more 'conventional' development outcomes provides a potential means of assessing the impacts of development interventions in the face of changing risk contexts.

4 This paper does not discuss the technical challenges involved in the M&E process, such as shifting and evolving baselines.

5 See: Hedger, M., Mitchell, T., Leavy, J., Martin, G. and Downie, A. (2008). Desk Review: Evaluation of adaptation to climate change from a development perspective. Brighton. Accessed online at [http://www.esdevaluation.org/images/IDS\\_Report\\_on\\_Evaluating\\_Adaptation\\_for\\_GE\\_publication\\_version.pdf](http://www.esdevaluation.org/images/IDS_Report_on_Evaluating_Adaptation_for_GE_publication_version.pdf). See: Brooks, N., Anderson, S., Ayers, J., Burton, I. and Tellam, I. (2011). Tracking adaptation and measuring development. IIED Climate Change Working Paper No. 1, November 2011. Accessed online at: <http://pubs.iied.org/pdfs/10031IIED.pdf>

## The 'what to measure' question: the need for different types of indicators in the context of DEC

The evaluation of aid programmes in the context of DEC requires: (1) an evaluation of the extent to which DEC is integrated into development processes, actions and institutions, and (2) evaluation of development performance in the context of DEC, based on development and vulnerability indicators.

In this context, different domains of indicators are required, based on a combination of capacity-related indicators and vulnerability indicators, the latter of which represents an intermediate assessment of development outcomes under DEC risks<sup>6</sup>. Indicators to evaluate the extent to which DEC risks are integrated into development investments may include, for example: the use of DEC risk information in policy and programme design, and the proportion of development initiatives that are disaster- and climate-proofed. On the other hand, development impacts in the context of DEC may include vulnerability and development indicators, such as indicators of development performance (i.e. poverty reduction), the value of assets and economic activities protected or made less vulnerable, and the numbers of people experiencing reductions in vulnerability as a result of integrated policies and investments.

## The 'how to measure' question

A core component of the PAFs employed by most development agencies is the selection of concise SMART<sup>7</sup> indicators. Development agencies have traditionally focused primarily on outputs since they have less control over outcomes. An example is the number of schools built (output) compared to the number of children attending school (outcome). While school attendance depends on a range of factors, the construction of a school may directly result from a donor investment. Further complicating the reporting of outcome indicators is the fact that

sometimes no discernible change may occur over the course of the intervention.

Yet not everything that is important can be measured. Quantitative indicators can often tell what is happening, but fail to answer the question 'why?' The 'why' question, is fundamental if appropriate improvements are to be identified and implemented.

The main findings of a review of M&E efforts in the context of climate change and disaster risk (Silva Villanueva 2011) were that there is a tendency to determine the characteristics for success and then evaluate to what extent those are in place (deterministic approaches). Most frameworks tend to be project-focused and do not address issues related to the broader operational environment and the inter-dependencies between sectors and different levels of decision-making. Such approaches tend to stress the 'delivery' of programme interventions (i.e. number of training sessions delivered, disaster management plans developed, etc.), side-lining the long-term development context and the factors that enable or constrain positive impact.

In addition, as one moves from assessing inputs to outputs, outcomes and eventually tracking impacts, it becomes increasingly difficult, if not impossible, to define simple, meaningful and easily measurable indicators. Usually a more complex story of a range of interacting factors must be told to explain impact in a meaningful manner.

Broadening the scope of indicators, but also changing the type of indicators used, can help us in overcoming such challenges. In practice, this means that PAFs may need to incorporate a set of outcome- and process-based indicators, so that one can ultimately understand the benefits and trade-offs of integration processes and determine what is ultimately happening.

## Understanding M&E systems

A key challenge observed across comparable development organisations is that they simply lack staff capacity on M&E of DEC-related work and outcomes. In many cases, monitoring is seen as an obligation, and most of the time project staff mechanically complete forms, and project managers see the task merely as the collection of data for writing up reports. If M&E is not carried out because of practical concerns about resources or lack of technical know-how, then it is possible to address such situations by investing resources in building capacity.

<sup>6</sup> See Hedger et. Al (2009) and Brooks et. Al (2011)

<sup>7</sup> Emphasis, consequently, has focused on the development of what has been termed 'SMART' indicators: Specific, Measurable, Achievable, Relevant and Time-bound. The focus has been perceived both as the formulation of SMART objectives or as the determination of SMART indicators. The essential point is that indicators are more specific and include information about target groups and what needs to be achieved for these target groups. See for example a World Bank presentation "Monitoring and Evaluation: the Foundations for Results". Available at: <http://siteresources.worldbank.org/INTISPM/Resources/>

# 4 What are others doing?

Monitoring and evaluation processes and results associated with DEC considerations are a major undertaking that concerns most donor agencies currently. We outline current approaches from different agencies.

Most discussions around M&E in the context of DEC are dominated by climate change adaptation (CCA) investments, and therefore most indicators and frameworks are overly concerned with measuring adaptation outcomes. In addition, the M&E debate is focused on measuring impact of particular programme investments, rather than streamlining M&E processes in the context of DEC. Hence, donor organization's efforts to build evidence-based understanding of DEC and to establish comprehensive and integrated M&E systems should be considered a highly innovative approach to evaluation, an area of work where many unanswered questions remain.

A review of current M&E efforts reveals that organisations are focusing on three broad categories:

- Development of CCA, Disaster Risk Reduction (DRR) and Environment specific indicators.
- Development of risk screening tools and processes to guide and monitor programming changes.
- Development of M&E frameworks, linking risk reduction with development outcomes.

## Development of CCA, environment and DRR indicators

Sectoral investments in disaster risk reduction, environment and climate change have led in practice to a highly project-based mode of developing indicators and M&E frameworks, since the purpose is to measure dedicated finances and distinguish them

from other funding streams. Numerous agencies have developed results frameworks for adaptation, DRR and the environment. GEF's Adaptation Monitoring and Assessment Tool and the World Bank Pilot Programme for Climate Resilience (PPCR) results framework are also very recent efforts to guide agencies in developing adaptation-relevant M&E systems. Yet, more recently, many agencies that fund and implement development programmes are increasingly recognising that DEC cannot continue to be exclusively conducted through a set of discrete 'projects'<sup>8</sup>. These agencies also need to 'climate proof' investments by making adjustments in order to achieve poverty reduction, economic growth, health, education, or other development objectives in the context of DEC risk.

## Development of risk screening tools and processes to guide and monitor programming changes

As a result, risk-screening tools and mainstreaming/integration guidelines are under development by multilateral and bilateral organisations to support this process<sup>9</sup>. These include efforts by the OECD Development Assistance Committee (DAC), the Asian Development Bank (ADB), the World Bank, UNDP<sup>10</sup>, DFID, the Danish International Development Agency

8 Spearman, M. and McGray, H. (2011). Making Adaptation Count: Concepts and Options for Monitoring and Evaluation of Climate Change Adaptation. World Resources Institute. Accessed online at [http://pdf.wri.org/making\\_adaptation\\_count.pdf](http://pdf.wri.org/making_adaptation_count.pdf)

9 See: Hammill, A. and Tanner, T. (2012). Harmonising climate risk management: adaptation screening and assessment tools for development co-operation. Environment Working paper 36. OECD. Accessed online at <http://www.iisd.org/pdf/2011/5kg706918zvl.pdf>  
See: Tearfund (2009). Climate Change and Environmental Degradation Risk and Adaptation assessment (CEDRA)

10 See: UNDP (2010). Adaptation Policy Frameworks for Climate Change. UNDP

## DFID steps towards integration through M&E in the context of climate change, disaster risk and environmental sustainability

SOURCES: DFID 2011A, DFID 2011B

### Planning

- DFID is committed to becoming Climate Smart, both as an organisation and in its investments. DFID's business plan commits all country offices to undertake a climate change Strategic Programme Review (SPR) by December 2013 (DFID business plan Combating climate change 2011 to 2015). The SPR is an essential part of making DFID country offices and DFID Aid Climate Smart.
- The SPR aim to support country offices in improving planning for results on climate change and DRR.
- The DFID Business Plan for 2011-2015 commits DFID to embed disaster resilience in all DFID country offices by 2015.
- Screening procedures have been (and are being) developed and introduced such as, Opportunities and Risks from Climate Change and Disasters (ORCHID), Community Based Risk Screening Tool - Adaptation and Livelihoods (CRISTAL), to help assess the potential impact of development programmes and to re-orient them to be more sensitive to climate change, particularly in the context of enhancing resilience or capacity for adaptation.

### Monitoring and evaluation

- The Climate and Environment Department (CED) is investing a significant proportion of its investments in demonstrating results, impact and value for money, and is working in partnership with the Evaluation Department to build the capacity across DFID to monitor and evaluate climate change investments.
- A review of existing M&E frameworks relevant to climate change and development is planned in order to develop DFID's integrated framework.

### Building capacity of partners in monitoring and evaluation

The capacity of partners in results and evidence varies and is limited by the nature of climate change as an emerging policy area. DFID is working to influence, where possible, improvements in results measurement. For example:

- On the Climate Investment Funds (CIFs), currently DFID's largest programme spend, DFID is working to ensure a robust performance measurement system is developed and built into programme and project design more systematically.
- Through SPRs, CED is supporting country offices to improve their planning, results and evaluation on climate and development.

### Environmental protection and DRR

In addition, beyond the specific issue of climate change, DFID sees environmental protection as critical for reducing poverty. While working through international partnerships, DFID also strives to mainstream sustainable development in its bilateral programme, including in the context of budget support. In line with OECD/DAC guidance, DFID has made efforts to ensure systematic and more rigorous implementation of an evaluation of environmental screening and strategic environmental assessment. This comes with an increased emphasis on DRR, with the 2009 White Paper committing to allocate 10% of any natural disaster response money for prevention and preparedness.

### Source:

DFID (2011a) Creating a Climate Smart DFID available online at: [http://www.ids.ac.uk/files/dmfile/DFID\\_Howtonote\\_SPR.pdf](http://www.ids.ac.uk/files/dmfile/DFID_Howtonote_SPR.pdf)

DFID (2011b) Operational Plan 2011-2015. DFID Climate and Environment Department available online at: [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/67528/clim-env-dept-1.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67528/clim-env-dept-1.pdf)

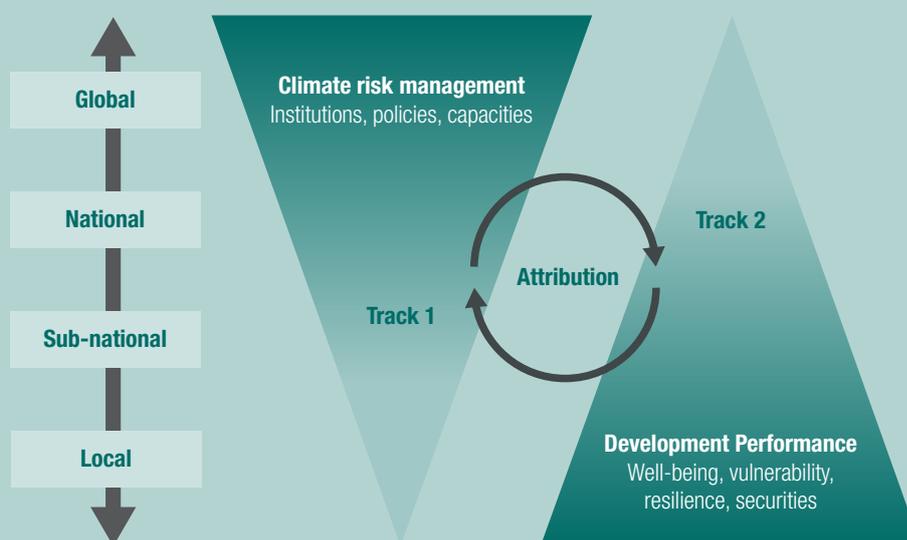
# BOX 2

## The IIED tracking adaptation and measuring development M&E framework

SOURCES: DFID 2011A, DFID 2011B

In collaboration with IIED, DFID is supporting the Tracking Adaptation and Measuring Development framework (TAMD). The TAMD offers a ‘twin track’ framework. In its simplest form, the TAMD framework assesses how climate risk management interventions (in Track 1) influence development and adaptation outcomes (in track 2).

Thus, the TADM aims to explore how adaptation and DRR interventions contribute to better climate risk management on the one hand, and help keep development outcomes on course in the face of climate change on the other. These two tracks represent the domains within which outputs, outcomes and impacts are evaluated. The TAMD assumes that effective Climate risk management (CRM) (Track 1) will, by definition, contribute to adaptation by people, groups, enterprises and economies, and will help secure development outcomes in the face of (increasing) climate risks (Track 2).



In summary, the TAMD envisages evaluating adaptation through: i) using indicators of the extent and quality of CRM; ii) assessing how, and how well, CRM benefits climate-vulnerable people; iii) using standard development indicators that reveal whether development is ‘on track’; and iv) employing indicators that reveal whether populations and the systems on which they depend are experiencing reductions in vulnerability, increases in resilience, and enhanced ‘adaptive capacity’.

Examples	Changes in Track 1	Changes in Track 2
<ul style="list-style-type: none"> <li>Climate proofing of transport infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>Use of climate projections to judge severity of climate impacts and level of protection measures</li> </ul>	<ul style="list-style-type: none"> <li>Lower incidence of climate-related disruption of transport services</li> <li>Reduced loss of access to trading routes due to climate effects</li> </ul>

Source:

Brooks, N., Anderson, S., Burton, I., Fisher, S., Rai, N. and Tellam, I. (2013). An Operational Framework for Tracking Adaptation and Measuring Development (TAMD). IIED Climate Change Working Paper No. 5. Available online at: <http://pubs.iied.org/pdfs/10038IIED.pdf>

and GIZ, to name a few. A more recent guide from the European Commission<sup>11</sup> focuses specifically on adaptation as a factor in sustainability, and seeks to integrate environment and climate change into development. It suggests ways to introduce climate change and the environment into climate-sensitive sectors through budget planning and M&E processes.

## Development of M&E frameworks, linking risk reduction with development outcomes

In spite of growing consensus about the need for integrated M&E frameworks, progress in this area of work is still limited. Efforts to date are pushed by the research community. Yet, such frameworks remain 'academic' in nature. There will be a steep learning curve for using these frameworks and constant backup from the academic community will be needed, which may make them difficult to implement in the real world and will probably limit their take-up.

Here we highlight the latest publication in relation to this kind of effort: The IIED Tracking Adaptation and Measuring Development (TAMD) framework.

## Lessons from on-going efforts

Many frameworks proposed for planning and assessing development in the context of DEC are in the early days of implementation. This is an opportune moment for DFAT to test these approaches and methodologies together, before emerging M&E systems are formalised and/or fully operational. Several shared themes emerge from the categories of M&E efforts above and discussions held with several institutions, pointing to three broadly applicable lessons for M&E in the context of DEC.

## The gap between theory and practice: the need for concerted efforts

Assessing development performance in the face of changing climatic and environmental baselines continues to be the major challenge. M&E efforts to date acknowledge the need to address vulnerability in order to promote climate resilience, and vulnerability

assessments are referenced in the framework as among the activities that should be pursued to indicate that climate resilience is integrated into development planning and practice.

## The need for an integrated set of measurements

Selecting a small set of DEC indicators that are applicable under a wide range of geographical and socio-political domains is a real challenge since capturing the wide diversity in a small number of indices could lead to gross generalisation. Criteria for choosing appropriate indicators for measuring development results in the context of DEC are crucial, since they vary as to who is assessing them and for what objective. Since development investments in the context of DEC are diverse, an emerging lesson to date is that the frameworks need to capture complementarities that exist among different domains of decision-making, such as CCA, environmental sustainability, development, and DRR.

## From project-based to organisational-wide M&E efforts: M&E is more than just measurable indicators

Most efforts to date have concentrated on developing indicators and frameworks specific to project or programme investments. However, as argued in this paper, M&E also offers an opportunity to support the prioritization and planning of DEC investments, and development actions even before they are implemented (*ex-ante*). This is an area that could make a great deal of difference in the way development investments are designed and implemented in the context of DEC. In addition, there continues to be a missing link between programme focused M&E and organisational M&E systems.

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<sup>11</sup> See: EC/EuropeAid (2010). Guidelines on the Integration of Environment and Climate Change in Development Cooperation

# 5 Recommendations for making the most of M&E

Based upon the review of the debate and the M&E for efforts described above, this paper proposes three linked steps for DFAT to consider as a basis for developing integrated M&E frameworks.<sup>12</sup> A key message emerging from this paper is that in order to make the most of M&E, we need to use it wisely. What does this mean for donor organizations? In the spirit of 'learning by doing', we offer in this concluding section several themes for further exploration as DFAT's portfolios expand their knowledge base, technical capacity, and financial resources. In order to make the most of M&E, we need to use it wisely.

## 1. Think more holistically about M&E efforts in investments

The need for effective development and risk management programme is becoming more acute with the changing DEC risks communities face. This can only be achieved through greater coordination and learning amongst DRR, climate change, environment and development sectors. DFAT may consider to:

- **Foster critical reflection and discussion** about how the programme can improve its investments in the context of DEC and look beyond project logics and focus on changes in relation to your investments. It is unlikely to be in the interests of any organisation to address and integrate every

aspect of DEC. However, priority areas can be identified that are useful to DFAT. The question to ask is not 'what did we achieve?' but rather 'what has changed in relation to our efforts?' To do so, DFAT could consider commissioning a review of current M&E systems from which to identify options for improved tracking of DEC.

- **Respond to the need for more flexible M&E mechanisms broadening the set of indicators to include ones that identify and respond to climate risks.** This could help DFAT to better contribute to improving resilience. Indicators should relate to various types of shocks as well as different levels of vulnerability.
- **Develop an organisation-wide theory of change,** exploring the links between DEC and DFAT development outcomes supported by empirical evidence.
- **Develop a common framework and indicators that can be used across programmes and projects.** Consider the development of an overarching set of indicators, against which each sector can measure its contribution to building environmental disaster and climate resilience. Such exercises will contribute not only to a better understanding of how DEC integration is taking place within the organisation, but also to how DFAT can maximise the effectiveness of its investments.

## 2. Start putting M&E into practice effectively

The most effective M&E is usually one tailored to suit the agency, context and issue. Recent progress towards a better conceptual understanding of DEC integration needs to be complemented by similar efforts in getting better at implementing, measuring and monitoring integration in ways that are most

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<sup>12</sup> Note: This paper is the first step in a process. It does not provide guidance - staff involved in Planning, Monitoring and Evaluation of policies and programmes should seek assistance from experts in this area. The discussion paper and experiences from country case study research will be used to inform a series of guidance notes which will be produced subsequently in the Advancing Integration programme. These guidance notes will support strategic direction and design along the aid management cycle.

relevant to development objectives. Issues to consider include:

- **Explore the possibilities of building an evidence base through piloting in-country M&E.**
- **Incorporate key decision-making timeframes into M&E designs** to ensure that technical knowledge and learning from them informs the decision-making process.
- **Open up spaces for collaborative M&E** to incorporate diverse types of studies (qualitative and quantitative methods), addressing different areas of knowledge. This for example could include developing sectoral PAFs through multi-sectoral engagement and/or conducting joint evaluations across sectors.

### 3. Build a culture of learning and integrated M&E

The current gap between theory and practice can only be resolved by shifting the perspective from indicator-driven M&E to learning-oriented systems. DFAT may consider to:

- **Embed research, monitoring and learning in programmes.** M&E processes should be designed to capture evidence of the impact of environmental degradation, climate change and disasters on beneficiaries and evidence

of how DEC integration efforts do or do not enable beneficiaries to build resilience. For example, commission a review of a suite of DEC investments during and after implementation to understand the extent to which they are DEC-proof, from which to make recommendations for improved investment decisions in the future.

- **Document and share lessons.** There is still much to be learnt from emerging practice that can support DEC programming. Documenting lessons relating to institutional processes and specific programmatic instruments and interventions that integrate DEC will contribute to building a wider understanding of both the constraints and the potential of DEC integration efforts.

# 6 Final remarks

The objective of integrating DEC considerations into aid investments is to keep development achievements on track. M&E of development investments needs to present an aggregated picture of overall progress towards development goals. This means that the planning, monitoring and evaluation of development interventions must address and provide an accurate picture of development results in the context of DEC.

While the development of PAFs can be a challenging task, these can be addressed by looking at the 'measurement' challenge from a learning and integrated perspective. The need for continuous learning and comprehensive and robust M&E should underpin the development of performance processes. Depending on the approach we take, M&E can either be a complex and frustrating exercise, or an essential part of organisational planning and learning.

Systematic M&E efforts offer an opportunity to capture the impacts of DFAT, and to create a communication channel across different sectors. But to be meaningful, we must recognise that plans and programmes might be challenged, and be prepared to respond accordingly. The specific features of DEC integration call for refinement rather than replacement of existing PAFs.

The promise of better performance evaluation should be encouraging enough to try. But it is not an easy option. It can also provoke more far-reaching changes than realised. When new principles and processes are brought into organisations that already have internal procedures and policies, introducing a more refined M&E process can be challenging.

M&E can only thrive in an organisation willing to review its procedures and attitudes, and change them where necessary. The use of M&E needs to be seen as a long-term process towards organisational change. Flexibility and patience are essential, since more time is needed to design and adapt the process than when standard procedures are used.

By measuring results from a learning perspective, we can get a much better idea of what works and what doesn't and why, and we can refine programmes accordingly. Monitoring processes and results provides us with an incentive to look at the evidence, innovate and learn. This helps ensure that the DFAT aid programme is focussed on the best value and the most effective programmes.

## EXTERNAL PRODUCTS

- 1. Existing knowledge**  
Integrating disaster risk reduction, environment and climate change into development practice  
*Emily Wilkinson, Elizabeth Carabine, Katie Peters, Emily Brickell, Catherine Allinson, Lindsey Jones, Aditya Bahadur*
- 2. How to measure progress**  
Tracking integration: measuring development programme results  
*Paula Silva Villanueva*
- 3. The case of Vanuatu**  
Advancing integration of disaster, environment and climate change  
*Katie Peters and Aditya Bahadur*
- 4. The case of Viet Nam**  
Advancing integration of disaster, environment and climate change  
*Guy Jobbins and Dang Thu Phuong*
- 5. A spotlight on South Asia**  
Australia's integrated approach: development outcomes in water, food and energy  
*Maylee Thavat*
- 6. A spotlight on Kiribati**  
Australia's integrated approach: matching global climate change commitments with immediate needs and capacity  
*Maylee Thavat*
- 7. A how-to handbook**  
Integrating disaster risk reduction, environment and climate change adaptation and mitigation into Australian aid projects, programmes and investments  
*Aditya Bahadur, Guy Jobbins, Natasha Grist, Catherine Allinson*
- 8. Reflections and lessons**  
Unlocking policy reform and advancing integration: a synthesis of findings  
*Emily Wilkinson, Aditya Bahadur, Elizabeth Carabine*

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**Advancing Integration supports the systematic consideration of disaster risk reduction, environment and climate change adaptation and mitigation into humanitarian and development practice.**

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