Developing performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework

Bernard MAZIJN (Belgium)
COP 14 - UNFCCC Side Event
Poznan, 3 December 2008
Content of the presentation

- Introduction
- Developing and testing indicators: a participative co-design process
- Indicators to monitor and to evaluate effectiveness
- Experiences with performance indicators inside and outside the convention
- ‘Unravelling’ the TT Framework
- An initial selection
- Linking with MRV
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The overall objective of the assignment

• “... to develop and test a balanced and robust set of performance indicators that could be used by the SBI to monitor and evaluate the effectiveness of the implementation of the technology transfer framework.”

• The outcome of this work can also provide input to the work of the SB’s
  – (i) on reviewing and assessing the effectiveness of the implementation of Article 4, paragraphs 1(c) and 5,
  – (ii) on considering the role of new financing mechanisms and tools for scaling up development and transfer of technology
  – (iii) on Long-term Cooperative Action under the Convention
Vision -> Goal -> Objectives -> Actions & Actors

Monitoring and evaluation
<table>
<thead>
<tr>
<th>Deliverable Report</th>
<th>Date</th>
<th>Task</th>
<th>Meeting</th>
<th>Main contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Background paper</td>
<td>July 31st, 2008</td>
<td>Basis for the first interim report</td>
<td>Special EGTT Meeting in Ghana</td>
<td>Outline of the approach</td>
</tr>
<tr>
<td>First interim report</td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Second interim report</td>
<td>February 28th, 2009</td>
<td>Task 2: Test the set of performance indicators</td>
<td></td>
<td>Testing of key indicators, incl. methodological sheets</td>
</tr>
<tr>
<td>Final draft report</td>
<td>June 30th, 2009</td>
<td>Task 3: Prepare recommendations for using the indicators</td>
<td></td>
<td>Recommendations for using the indicators</td>
</tr>
<tr>
<td>Final report</td>
<td>August 31st, 2009</td>
<td></td>
<td>COP 15</td>
<td></td>
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</tbody>
</table>

**SB Interim Report (Document FCCC/SB/2008/INF.6)**

*(Summary of the approach, a long list of indicators and an initial selection of a key set of indicators)*
Consultancy team for the assignment

**Core team**

- Bernard MAZIJN (Belgium)  
  Coordinator and co-leading author
- Peter ZHOU (Botswana)  
  Co-leading author
- Malini RANGANATHAN (India)  
  Co-author ‘enabling environments’
- Andrew HIGHAM (Australia)  
  Co-author ‘financial flows’

**Review team**

- Wang KE (CHINA), Taka HIRAISHI (Japan), Leonidas Osvaldo Girardin (Argentina), Malini RANGANATHAN (India), Jukka UOSUKAINEN (FINLAND) and the UNFCCC Secretariat
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IISD Bellagio Principles

These principles deal with four aspects of assessing progress toward sustainable development:

• **Principle 1** deals with the starting point of any assessment - establishing a ‘vision’ and defining ‘clear goals’.

• **Principles 2 through 5** (‘holistic perspective’, ‘essential elements’, ‘adequate scope’ and ‘practical focus’) deal with the content of any assessment.

• **Principles 6 through 8** (‘openness’, ‘effective communication’ and ‘broad participation’) deal with key issues of the process of assessment.

• **Principles 9 and 10** (‘ongoing assessment’ and ‘institutional capacity’) deal with the necessity for establishing a continuing capacity for assessment.
Text 1:
UN Normative frame
‘DTT’

Feedback and selection
presented to the stakeholders
Text 1: UN Normative frame ‘DTT’

= Rio Declaration, Agenda 21 and UNFCCC (in particular the references to DTT)

Feedback and selection

*presented to the stakeholders*
Text 1:
UN Normative frame ‘DTT’

Text 2:
Current situation analysis

Feedback and selection
*presented to the stakeholders*
Text 1: UN Normative frame ‘DTT’

Text 2: Current situation analysis

= ‘The promise of technology’, ‘Results of the assessments by the Expert Group on Technology Transfer’ and ‘Expert Group on Technology Transfer: Five years of work’

plus detailed reports on one of the key elements of the technology transfer framework

Feedback and selection

*presented to the stakeholders*
Text 1: Normative frame ‘DTT’

Text 2: Current situation analysis

Text 3: Vision of the UNFCCC on DTT

Feedback and selection

*presented to the stakeholders*
Text 1: Normative frame ‘DTT’

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Feedback and selection

presented to the stakeholders

= TT Framework (Annexes to 4/CP.7 & 3/CP.13)
Text 1: Normative frame ‘DTT’

Text 2: Current situation analysis

Text 3: Vision of the UNFCCC on DTT

This is an ex-post exercise!
Text 1: UN Normative frame ‘DTT’

Text 2: Current situation analysis

Text 3: Vision of the UNFCCC on DTT

Text 4: Tree structure

Feedback and selection

presented to the stakeholders
Text 1: UN Normative frame ‘DTT’

Text 2: Current situation analysis

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Text 4: Tree structure

‘unravel’ exercise

Feedback and selection

*presented to the stakeholders*
Text 1: UN Normative frame ‘DTT’

Text 2: Current situation analysis

Text 3: Vision of the UNFCCC on DTT

Text 4: Tree structure

Feedback loop to take corrective action

Results
a set of indicators for DTT
with a methodological sheet for every indicator in the proposed model list
including recommendations

Feedback and selection

Draft model list indicators
- taking into account the internationally accepted prerequisites
- taking into account existing related work on indicators

presented to the stakeholders
Policy vision concerning DTT
for each competent authority: IGO’s (UNDP, UNEP, GEF …), Annex II Parties, Non-Annex I Parties …

Text 1:
UN Normative frame, on DTT

Text 2:
Current situation analysis

Text 3:
Vision of the UNFCCC on DTT

Text 4:
Tree structure

Draft model list indicators
- taking into account the internationally accepted prerequisites
-- taking into account existing related work on indicators

Feedback and selection
presented to the stakeholders

Results
a set of indicators for DTT
with a methodological sheet for every indicator in the proposed list

See the work of the Executive Committee under the MLF of the Montréal Protocol
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Evaluation of a policy

**Relevance**: to what extend are the goals justified in relation to needs?

**Effectiveness**: to what extend have the expected goals been achieved?

**Efficiency**: Have the goals been achieved at the lowest cost?

**Utility**: Are the goals or unexpected effects contributing to a net increase in social welfare?
What are we looking for?

In relation to the TT Framework.

• ‘A set of measures enabling to monitor performance, to track progress towards the achievement of objectives, to demonstrate results, and to take corrective action.’

• They can be expressed as qualitative or quantitative measures, financial and non-financial metrics, SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) formulated.

• The indicators will measure ‘means’ (methods to achieve objectives) or ‘ends’ (achievement of objectives) or a combination at any point along the continuum (inputs, processes, outputs, outcomes, and impacts) from means to ends.
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Relevant initiatives inside the Convention

- Capacity-building
- Reporting on global observing systems for climate
- Administrative and financial matters
- Kyoto Protocol
- Climate related risks and extreme events

In general it can be concluded the experiences are rather limited and that processes have been initiated but are not well advanced yet in their implementation.
Relevant initiatives
outside the Convention

• The World Bank: Performance Monitoring Indicators
• UNDP/GEF: Capacity Development Indicators
• UNDP: Monitoring and Evaluating for Results
• IAEA: Energy Indicators for Sustainable development
• GEF: Monitoring and Evaluation Policy
• GEF: Results from the Climate Change Program
• Mkukuta Monitoring Master Plan and Indicator Information
• The World Bank – IEG: Institutionalization of M&E systems
• The World Bank: ‘Doing Business’
• Montreal Protocol
Lessons learnt

- Learning curve
- Framework with causal relations
- Performance indicators
- Data availability
- Stakeholders
- Capacity building
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‘Unravel’ exercise

Draft model list indicators

- taking into account the internationally accepted prerequisites
- taking into account existing related work on indicators

Feedback and selection

presented to the stakeholders

Results

a set of indicators for DTT

with a methodological sheet for every indicator in the proposed model list

including recommendations
The ‘unravel’ exercise:
a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective
3. Re-grouping by stakeholder
4. Re-grouping by indicator category
5. Checking against earlier proposals (i.e. submissions by Parties)
6. Identification of missing links between vision, objectives and effects
The ‘unravel’ exercise: a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective
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Objectives for each key theme
… coming from the TT Framework
= annexes to 4/CP.7 & 3/CP.13
The ‘unravel’ exercise: a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective (incl. the formulation of performance indicators)
3. Re-grouping by stakeholder
4. Re-grouping by indicator category
5. Checking against earlier proposals (i.e. submissions by Parties)
6. Identification of missing links between vision, objectives and effects
See Box 1 and Annex in Document FCCC/SB/2008/INF.6)
The ‘unravel’ exercise: a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective
3. *Re-grouping by stakeholder*
4. *Re-grouping by indicator category*
5. Checking against earlier proposals (i.e. submissions by Parties)
6. Identification of missing links between vision, objectives and effects
An overview of the number of indicators by key theme and by category

<table>
<thead>
<tr>
<th>Theme</th>
<th>Input-indicator</th>
<th>Process-indicator</th>
<th>Output-indicators</th>
<th>Outcome-indicators</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>TNA</td>
<td>7</td>
<td>3</td>
<td>9</td>
<td>1</td>
<td>20</td>
</tr>
<tr>
<td>TI</td>
<td>2</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>EE</td>
<td>30</td>
<td>3</td>
<td>28</td>
<td>14</td>
<td>75</td>
</tr>
<tr>
<td>CB</td>
<td>6</td>
<td>7</td>
<td>11</td>
<td>10</td>
<td>34</td>
</tr>
<tr>
<td>MECH</td>
<td>3</td>
<td>1</td>
<td>19</td>
<td>/</td>
<td>23</td>
</tr>
</tbody>
</table>
And, in terms of stakeholders the indicators are targeting …

- UNFCCC (Secretariat, EGTT, SBSTA, SBI)
- All Parties, Developed Country Parties, Annex II Parties, Non-Annex I Parties
- IGO’s
The ‘unravel’ exercise: a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective
3. Re-grouping by stakeholder
4. Re-grouping by indicator category
5. Checking against earlier proposals (i.e. submissions by Parties)
6. Identification of missing links between vision, objectives and effects
In the document FCCC/SBI/2008/MISC.1 and Add.1, Parties have made proposals of performance indicators, which are summarized in FCCC/SBI/2008/7.

It seems that most/some of the performance indicators by Parties in their submissions are

- are included in the list and will be checked – later on - against the SMART-principles
- target the very short term;
- emphasize a number of (new) objectives;
- need to be rendered in clearly formulated separate objectives.
The ‘unravel’ exercise: a step-by-step approach

1. Objectives for each key theme
2. Regrouping by synthesized objective
3. Re-grouping by stakeholder
4. Re-grouping by indicator category
5. Checking against earlier proposals (i.e. submissions by Parties)
6. Identification of missing links between vision, objectives and effects
See Box 2
in Document FCCC/SB/2008/INF.6
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At the EGTT Meeting in Dublin, through interaction, the long list of indicators has been reduced to a preliminary list of 32 key indicators ...

See Chapter IV in document FCCC/SB/2008/INF.6
… which will be tested using a methodological sheet

- DESCRIPTION OF THE PERFORMANCE INDICATOR
- POLICY RELEVANCE
- METHODOLOGICAL DESCRIPTION
- ASSESSMENT OF DATA
- ALTERNATIVE DEFINITION(S) OR PERFORMANCE INDICATOR(S)
- REFERENCES
- FACTUAL DATA AND EVALUATION
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Linking with MRV
(measurable, reportable and verifiable)

- The notion of MRV (measurable, reportable and verifiable) appears in the sub-paragraphs (i) and (ii) of paragraph 1(b) of 1/CP.13, the so-called Bali Action Plan. There is an exclusive reference to ‘mitigation (commitments and) actions’ of Parties.

- One could wonder about the link with performance indicators. Taking into account the methodological approach described in this report, the following observations about the communalities can be made:
  - the performance indicators will be formulated in a SMART-way; the ‘M’ stands for ‘measurable’;
  - a methodological sheet will be developed for each performance indicator in order to be reportable and verifiable.
Vision  
Goal  
Objectives  
Actions & Actors

Monitoring and evaluation

Performance indicators = measurable
Methodological sheets = reportable
Transparency = verifiable
Thank you.

Bernard MAZIJN
Consultant / Visiting Professor
Email: bernard.mazijn@skynet.be