

**Developing and testing performance indicators
for the development and transfer of EST's
under the UNFCCC:
about process and methodology**

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**UNFCCC Expert Meeting on Monitoring and Evaluating
Capacity-building in Developing Countries**

Rio de Janeiro, 6-7 November 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 the
convention
- ‘Unravelling’ the TT Framework
- Next steps

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UNFCCC – Art.4. Commitments

...

§ 5. The developed country Parties and other developed Parties included in Annex II shall take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention. In this process, the developed country Parties shall support the development and enhancement of endogenous capacities and technologies of developing country Parties. Other Parties and organizations in a position to do so may also assist in facilitating the transfer of such technologies.

...

History of the development and transfer of EST's as seen under UNFCCC

COP 7

Establishment of the UNFCCC
Expert Group on Technology Transfer

- Phase 1 (1992-1997): UNFCCC and Technology Board
- Phase 2 (1997-2002): 'common understanding'
- Phase 3 (2002-2008): 'common understanding'
- Phase 4 (2008-2012): acceleration on implementation
- Phase 5 (Post-2012): massive deployment and diffusion

Development and transfer of EST's under the UNFCCC: 5 key elements

- Technology Needs Assessments
- Technology Information
- Capacity Building
- Enabling Environments
- Financial and Institutional Mechanisms

(→ cf. link with CB Framework
& CB priorities 2, 8 and 10)

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

Deliverable Report	Date	Task	Meeting	Main contents
Background paper	July 31 st , 2008	Basis for the first interim report	Special EGTT Meeting in Ghana	Outline of the approach <i>(incl. Text 1, Text 2 and Text 3)</i>
First interim report	September 30 th 2008	Task 1: develop a set of candidate performance indicators	UNFCCC Expert Meeting in Ireland	A long list of indicators <i>(incl. Text 4)</i>
Second interim report	February 28 th , 2009	Task 2: Test the set of performance indicators		<i>Selection of key indicators, incl. methodological sheets</i>
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Final report	August 31 st , 2009		COP 15	

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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*.

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**Text 1:
UN Normative frame
'DTT'**

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**Feedback and
selection**
*presented to the
stakeholders*

**Text 1:
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'DTT'**

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

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**Text 1:
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**Text 2:
Current situation
analysis**

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'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

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**Text 3:
Vision of the UNFCCC
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**TT Framework
(Annexes to 4/CP.7 & 3/CP.13)**

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**This is
an ex-post exercise !**

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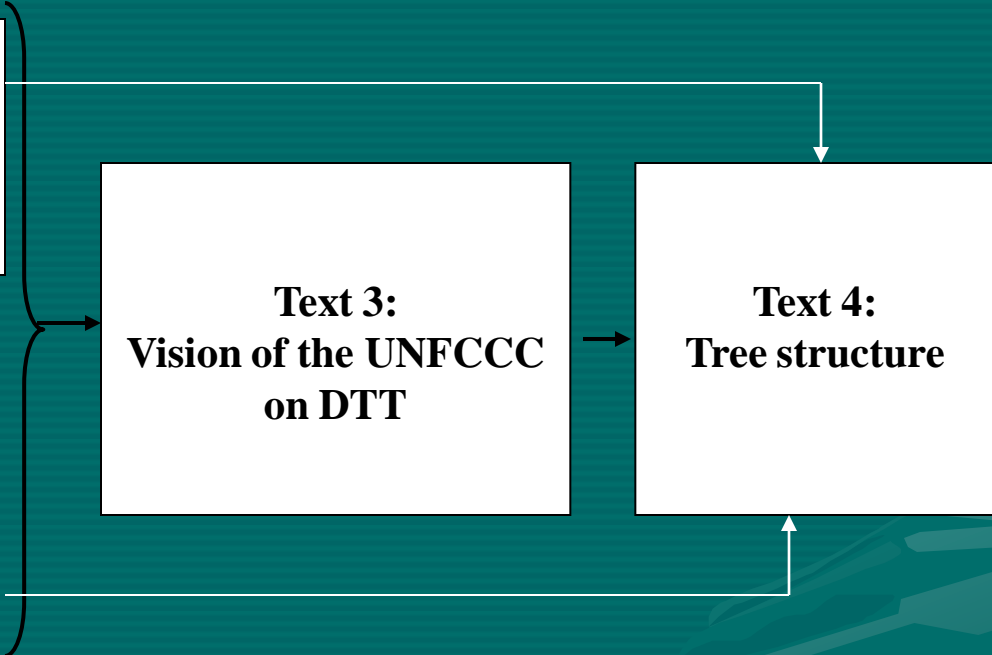
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**Text 3:
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**Text 4:
Tree structure**

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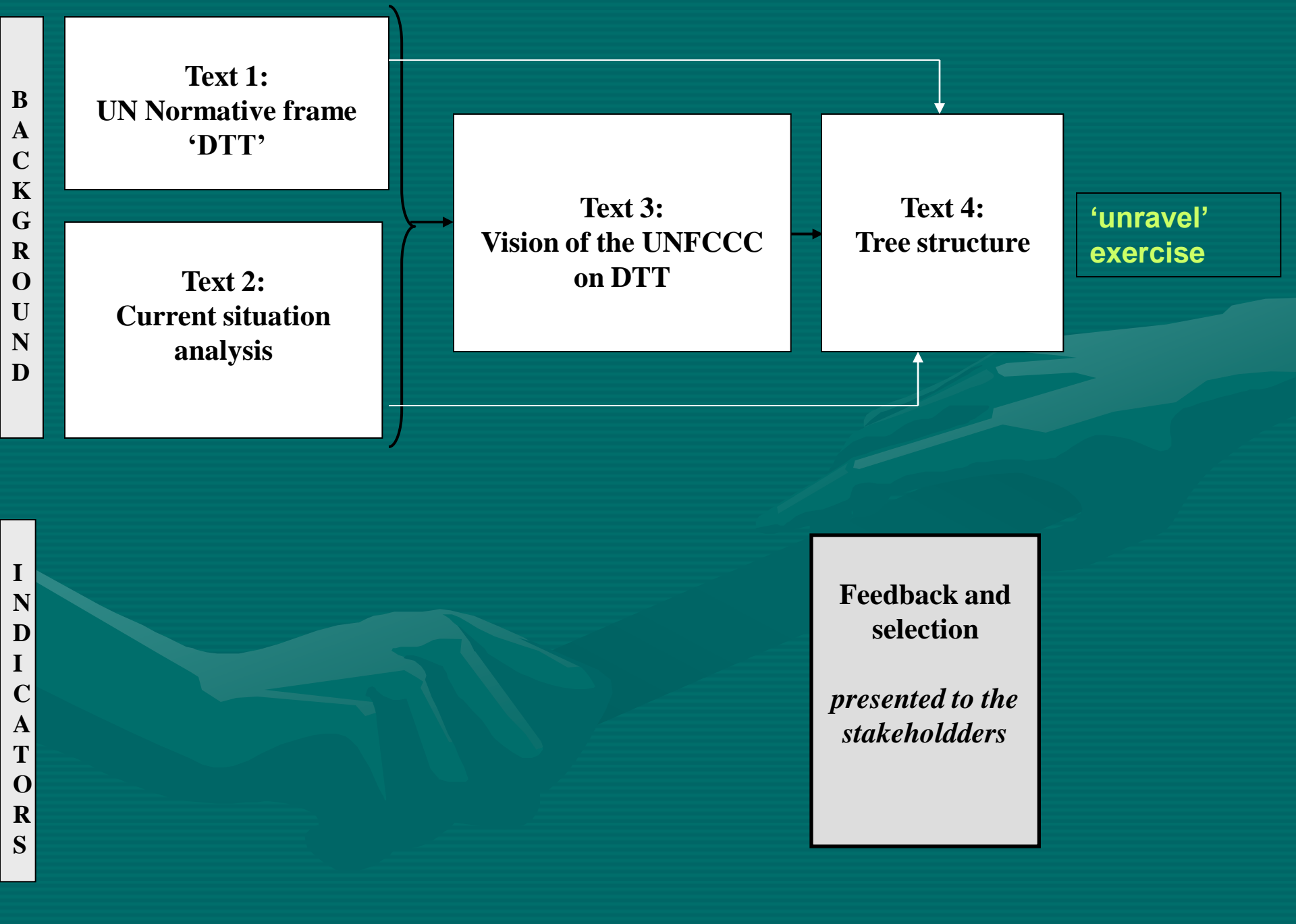
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**Text 4:
Tree structure**

**'unravel'
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Feedback loop to take corrective action

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Results
a set of indicators
for DTT

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

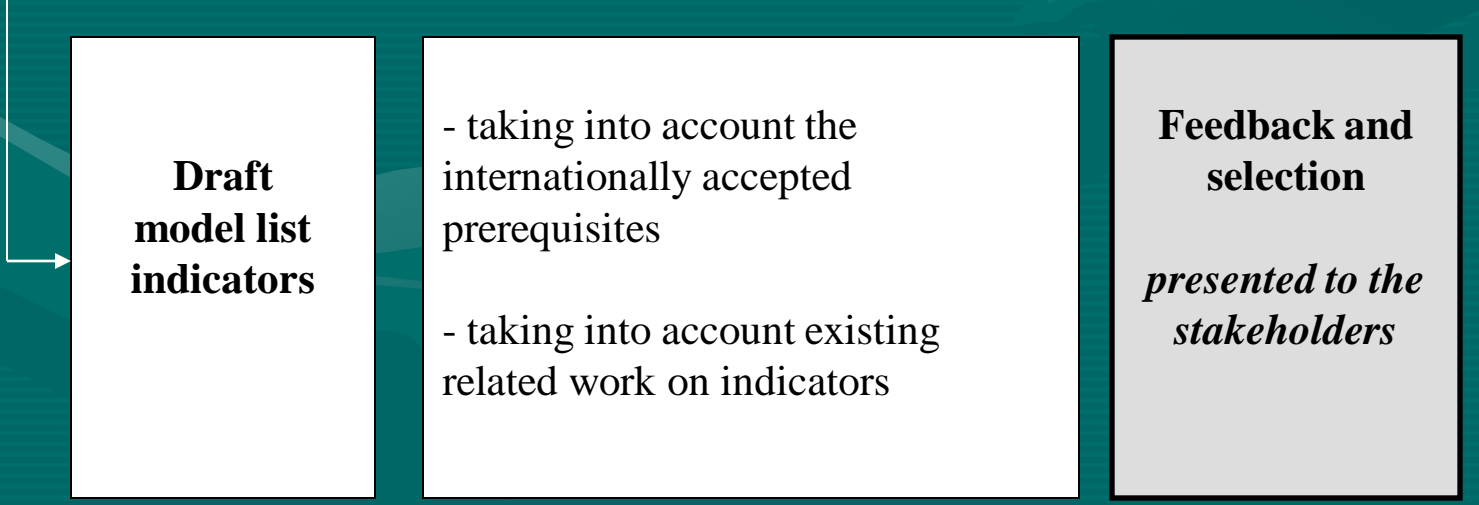
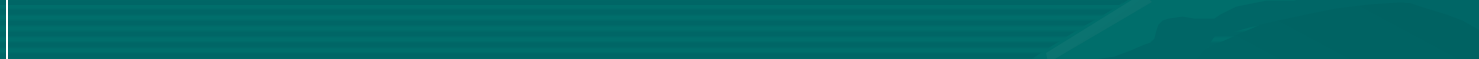
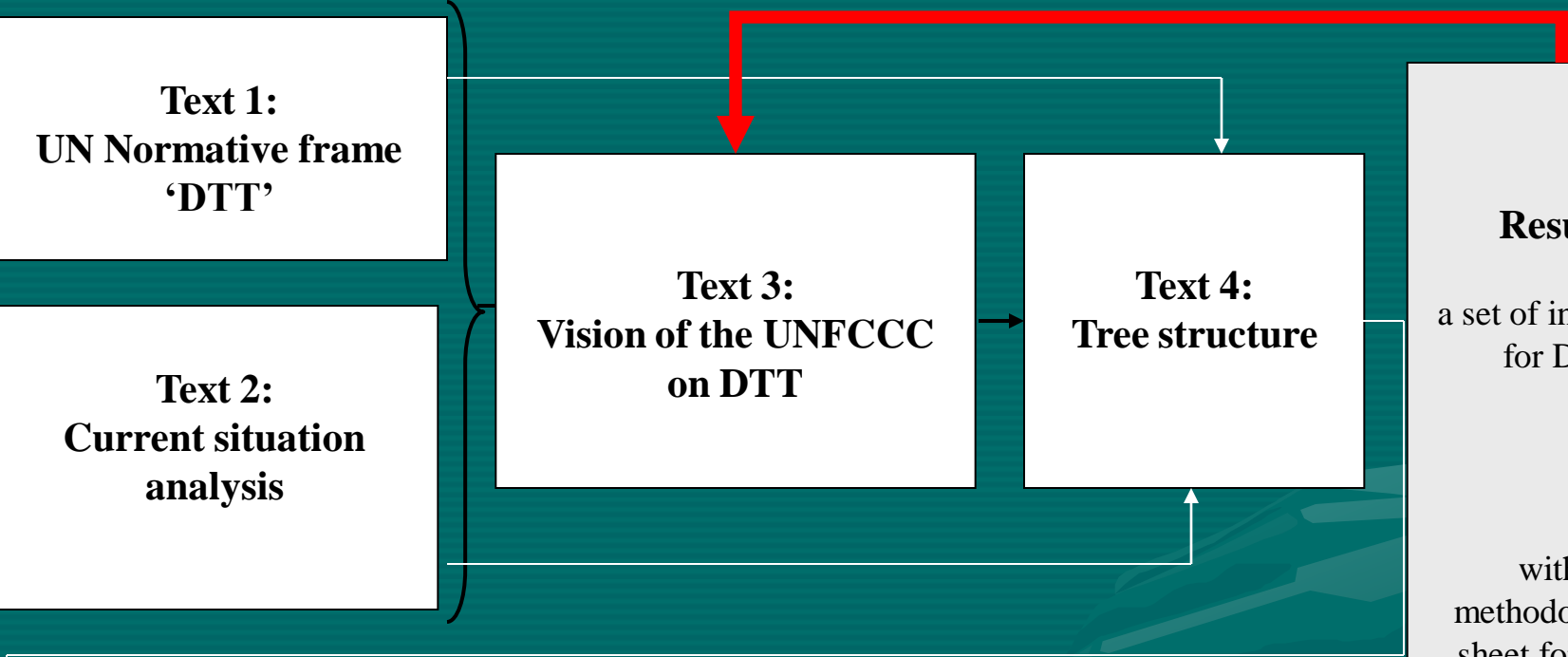
including
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**Draft
model list
indicators**

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

**Feedback and
selection**
*presented to the
stakeholders*



Policy vision concerning DTT

for each competent authority: IGO's
(UNDP, UNEP, GEF ...), Annex II
Parties,
Non-Annex I Parties ...

See the work
of the Executive Committee
under the MLF
of the Montréal Protocol

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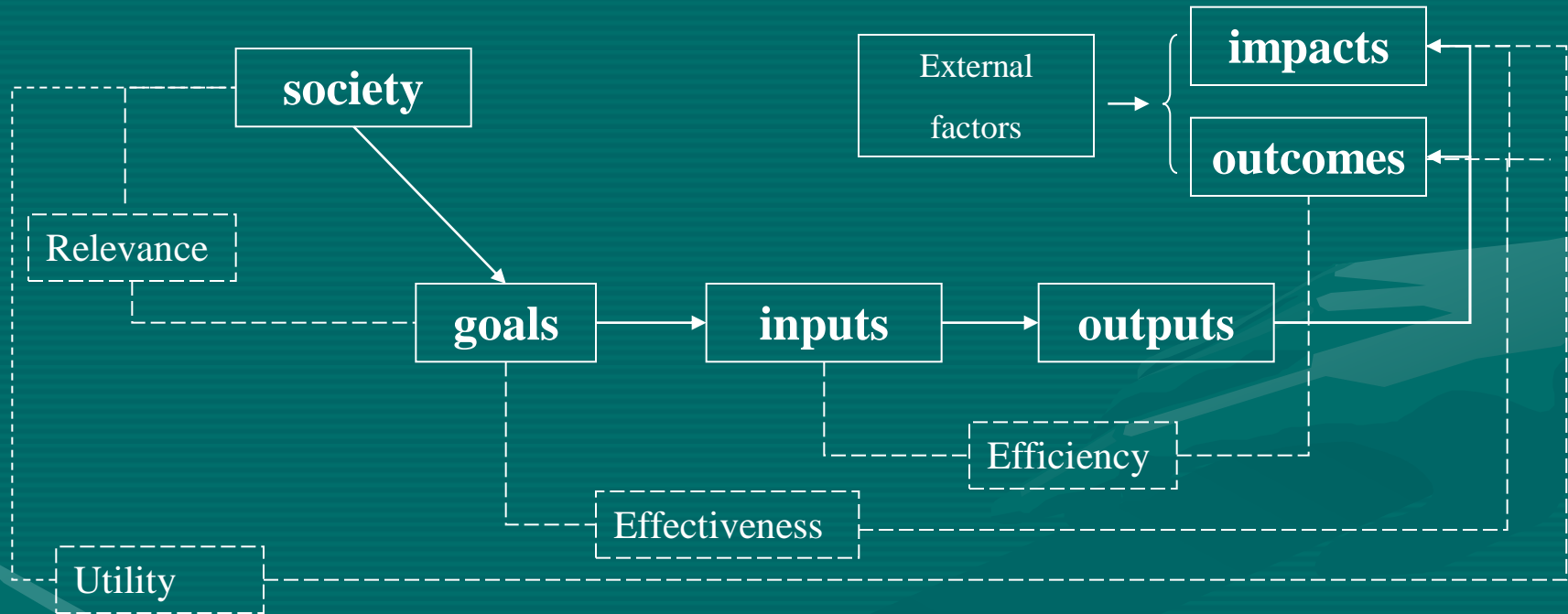
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Evaluation of a policy



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

Effectiveness: to what extent 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?

- ‘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. Quid link with MRV?
- 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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Monitoring and evaluation of capacity-building

Source of information, inter alia:

- A proposal for the collection, processing and dissemination of information on monitoring capacity and capacity-building activities in developing countries
(Document FCCC/SBI/2005/5)
- A possible format for reporting on the regular monitoring of the implementation of the capacity-building framework in accordance with decision 2/CP.7, paragraph 9.
(Document FCCC/SBI/2007/5)
- Report on the expert workshop on monitoring and evaluating capacity-building in developing countries.
(Document FCCC/SBI/2007/33)

A proposal for structuring available information

Priority areas for capacity building	Strategic areas of support	Methodological approaches	Targets	Outcomes or expected results	Performance indicators (progress, gap, effectiveness)	Metrics & data sources
Participation in UNCCCC	Human	e.g. training for negotiations	Critical mass of negotiations	Capacity to mobilize information	No of negotiators	Attendance at UNFCCC conferences
	Institutional	Strengthen UNFCCC focal points	Focal points working within 1 year	Capacity to monitor	Existence of the focal points	Dates of establishment
	Systemic	Enhance enabling environment	Change in public perceptions	Capacity to engage and build consensus	Attitude and perceptions	Submission from Parties & surveys

Comparison with the present exercise for the technology transfer framework

The following similarities and differences can be observed:

- ‘Priority areas for capacity building’ = the key themes of the TT-framework;
- ‘Strategic areas of support’: this does not exist in the present exercise;
- ‘Methodological approaches’ = the ‘unravelling’ objectives (= actions/activities);
- ‘Targets’: it seems that sometimes real targets are formulated and in other proposed targets are more going in the direction of ‘measurement’ of the indicator;
- ‘Outcomes or expected results’: there is no distinction between ‘outputs’ and ‘outcomes’; it seems there is no intention to formulate ‘impact’ indicators;
- ‘Performance indicators’: the proposed indicators are linked to the possibility to report on ‘progress’, ‘gap’ and/or ‘effectiveness’;
- ‘Metrics and data sources’: this information will be reflected in the TT-methodological sheets.

Other relevant initiatives inside the Convention

- 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.

Lessons learnt

- Learning curve
- Framework with causal relations
- Performance indicators
- Data availability
- Stakeholders
- Capacity building

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**Text 1:
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Reductionist approach?

What is the rationale for labelling the TT Framework,
in particular the key element 'enabling environments'?

The difference is the starting point:
a comprehensive TT Framework adopted as a vision.

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*presented to the
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Results

set of indicators
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biological
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The 'unravel' exercise: a step-by-step approach

1. Objectives for the 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

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Objectives for each theme

The technology transfer framework - contained in the Annex to decision 4/CP.7, complemented with the set of actions set out in decision 3/CP.13, annex I, for each theme consists of the following elements:

- in the Annex to decision 4/CP.7, under C. Key themes and areas for meaningful and effective actions,
 - definition
 - purpose
 - implementation
- in the Annex I to decision 3/CP.13,
 - recommendations for enhancing the implementation

In addition there are cross-references in other key theme.

The 'unravel' exercise: a step-by-step approach

1. Objectives for the 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

CB: re-grouping by synthesized objective

- ‘to report on Capacity Building Needs and experiences for DTT of the developing country Parties’
- ‘to implement/support CB activities for DTT in developing country Parties.
- ‘to establish/strengthen capacity for DTT in institutions of developing country Parties’.
- ‘to increase/enhance/improve awareness/knowledge on ESTs in developing country Parties’.
- ‘to provide training on ESTs in developing country Parties’
- ‘to develop and implement standards and regulations for ESTs’

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An overview of the number of indicators by category for capacity-building

	Input- indicator	Process- indicator	Output- indicators	Outcome- indicators	Total
...					
CB	7	8	11	10	36
...					

And, in terms of stakeholders for capacity-building...

... the 36 indicators are targeting:

- UNFCCC (Secretariat, EGTT, SBSTA, SBI)
- IGO's
- Developed country Parties
- All Parties

The 'unravel' exercise: a step-by-step approach

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(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. In Annex IV each of the proposed indicators is discussed. It seems that most/some of the performance indicators by Parties in their submissions are

- or already taken up by making explicit the causal relationship;
- or targeting the very short term;
- or emphasizing a number of (new) objectives;
- or need to be unravelled in clearly formulated separate objectives;
- or are included and will be checked – later on - against the SMART-principles.

It is clear that further in the process a check against indicators already proposed in other experiences inside and outside the UNFCCC could help to finalize the set of performance indicators.

The 'unravel' exercise: a step-by-step approach

1. Objectives for the 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*

Capacity-building

to build

to develop

“process to strengthen existing scientific and technical skills/ capabilities/ institutions

to enhance

to improve

in NAII Parties in order to enable

to access

to adapt

to manage

to develop

EST's

→ to strengthen capacities of NAII to promote

dissemination

application

development

of EST's”

Capacity-Building

- From the goal as spelled out, it can be taken the focus is on ‘strengthening the capabilities in Non-Annex II Parties’, through the support of ‘existing scientific and technical skills/capabilities/institutions’.
- But CB is a cross-cutting theme through all the other key themes of the technology transfer framework.
- Furthermore, it can be concluded from the objectives in the technology transfer framework that the burden lies with different stakeholders.
- There is need for streamlining with your exercise before selecting the final list of performance indicators for the key theme ‘Capacity-Building’ under the technology transfer framework.

At the EGGT Meeting in Dublin,
the initial list of indicators
has been reduced to ...



... a preliminary list of 4 key indicators for CB (1)

- Amount of financial inputs (scholarships, institutional financing, technical assistance) by developed countries into capacity building for development and transfer of technology in developing countries.
(cf. the relation with ‘human capacity’)
(input-indicator) (Annex II Parties)
- Reported needs and agreed priorities for capacity building for development and transfer of technology
(cf. the relation with ‘institutional capacity’)
(input-indicator) (Non-Annex I Parties)

... a preliminary list of 4 key indicators for CB (2)

- Number of participants/experts in DTT training programmes, in particular on the development of standards and regulations
(cf. the relation with ‘human capacity’)
(output-indicator) (Non-Annex I Parties)
- Number of new and existing national and regional institutions, operating as centers of excellence, on DTT
(cf. the relation with ‘institutional capacity’)
(output-indicator) (Non-Annex I Parties)

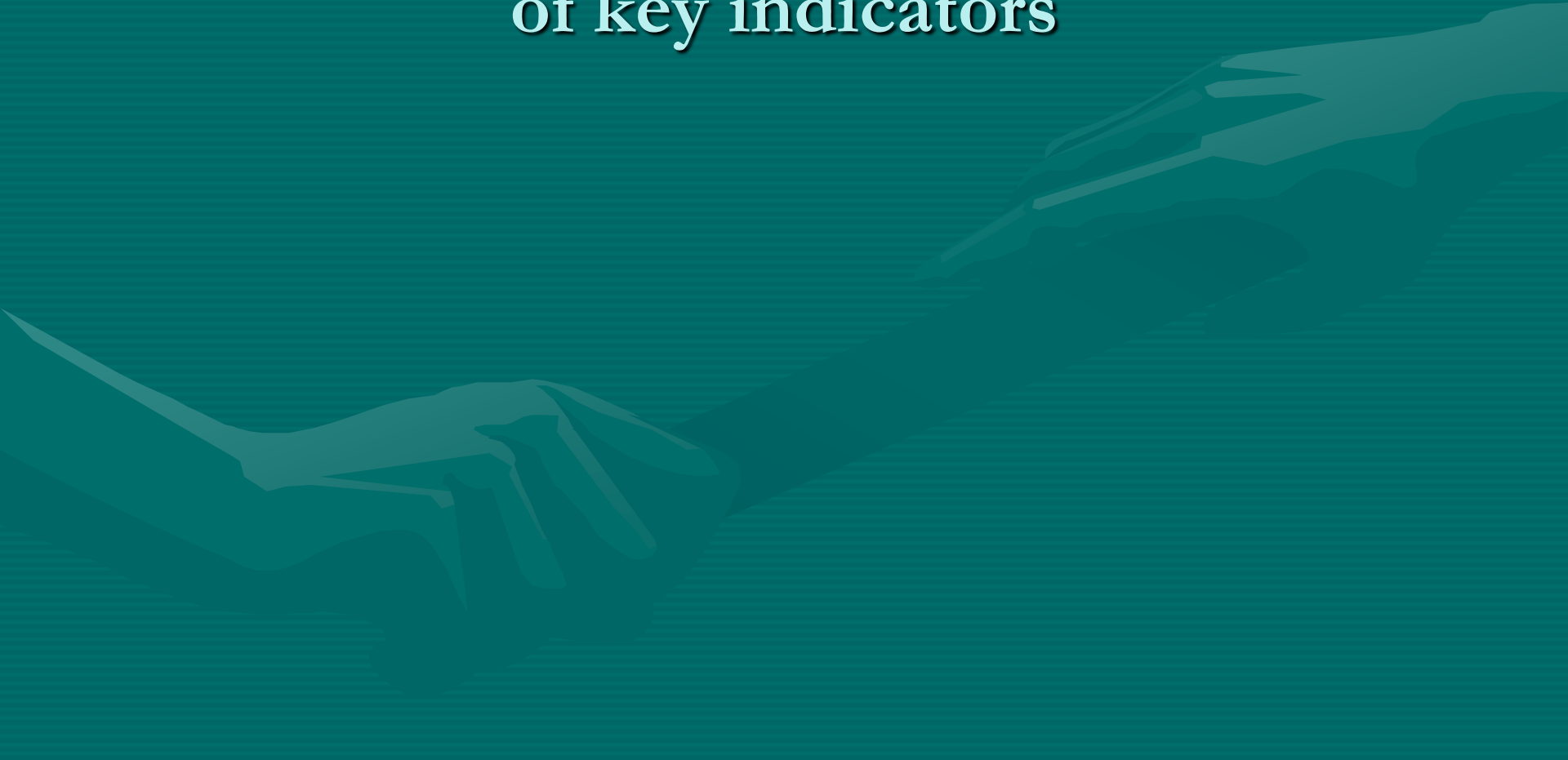
No indicators
related to the 'systemic' strategic area of support,
because there were no related objectives



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For each of the 5 key themes
of the TT Framework:
testing the preliminary list
of key indicators



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Draft Methodological Sheet

The next step is to look if the indicators can be formulated SMART (Specific, Measurable, Achievable, Relevant, and Time-bound).

Filling in the methodological sheet for each and every indicator is a way of checking these requirements.

- **DESCRIPTION OF THE PERFORMANCE INDICATOR**
- **POLICY RELEVANCE**
- **METHODOLOGICAL DESCRIPTION**
- **ASSESSMENT OF DATA**
- **ALTERNATIVE DEFINITION(S) OR PERFORMANCE INDICATOR(S)**
- **REFERENCES**
- **FACTUAL DATA AND EVALUATION**

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.

Reflections on the discussion during the RJ Expert Meeting

- Bidirectional cross-linking with other processes under the UNFCCC
- Development of indicators should not be pre-conditioned (cf. conceptual indicators, 2nd choice indicators, etc.)
- Indicators → Monitoring → Evaluation
- About indicators
 - Number?
 - Targeting who? Related to accountability?
 - At macro (= national) level.
- Does size matters?

Thank you.

