

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**

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

**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 MAZIYN (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*.

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

**Text 1:  
UN Normative frame  
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**Rio Declaration, Agenda 21 and UNFCCC  
(in particular the references to DTT)**

**Feedback and  
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**Text 1:  
UN Normative frame  
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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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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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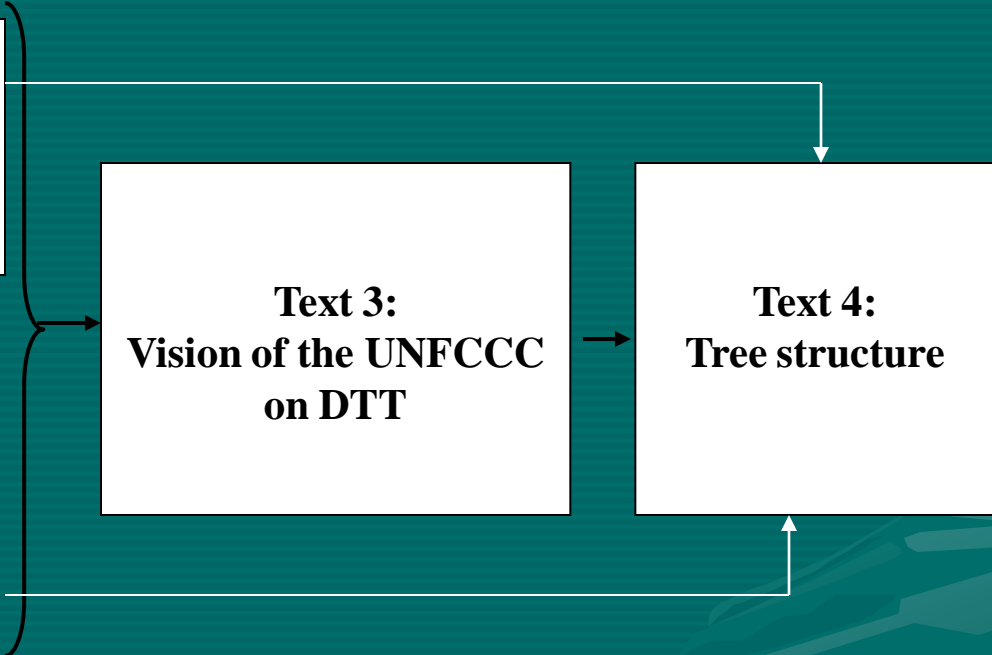
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**Text 4:  
Tree structure**

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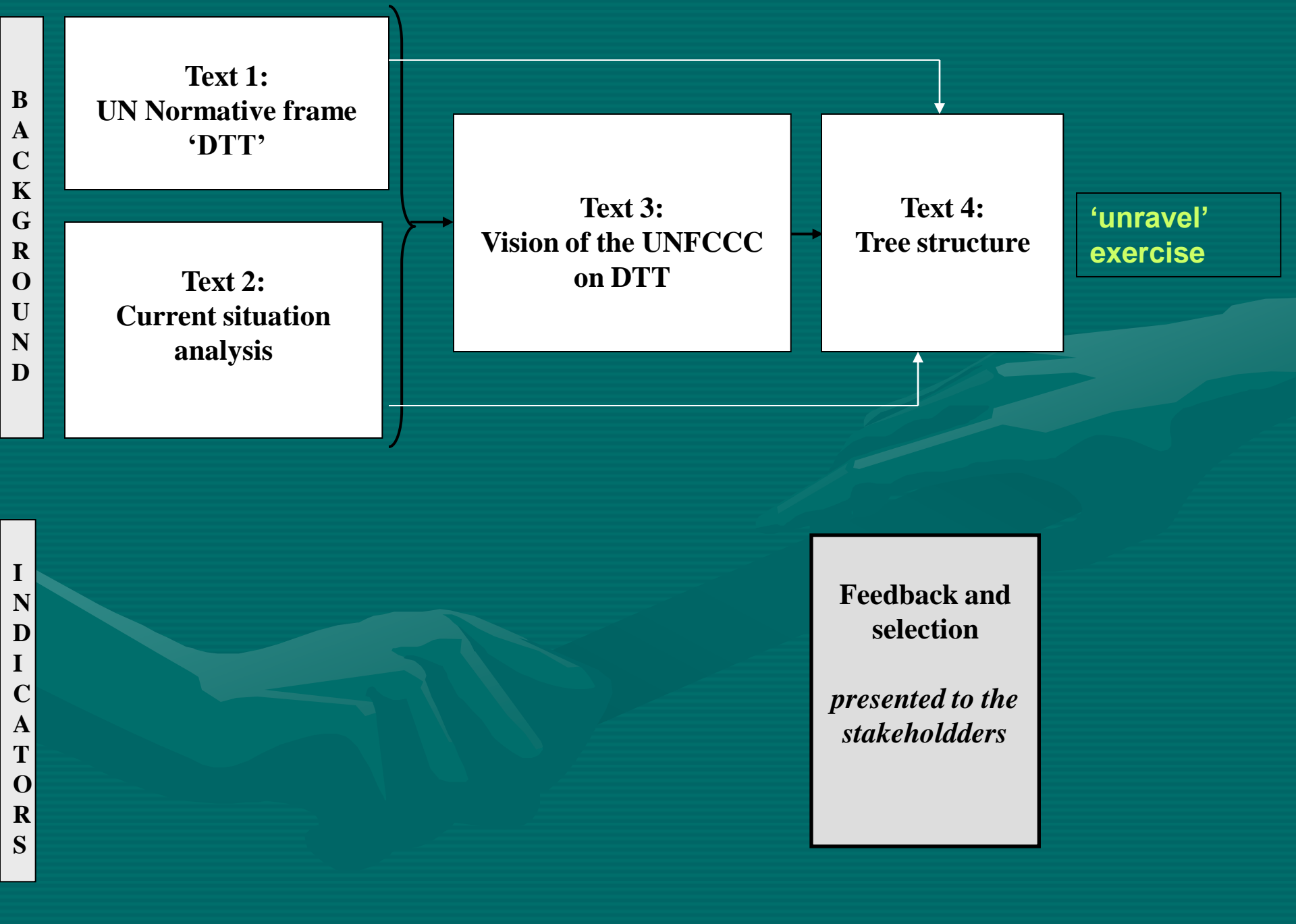
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**'unravel'  
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# Feedback loop to take corrective action

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Tree structure

**Results**  
a set of indicators  
for DTT

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

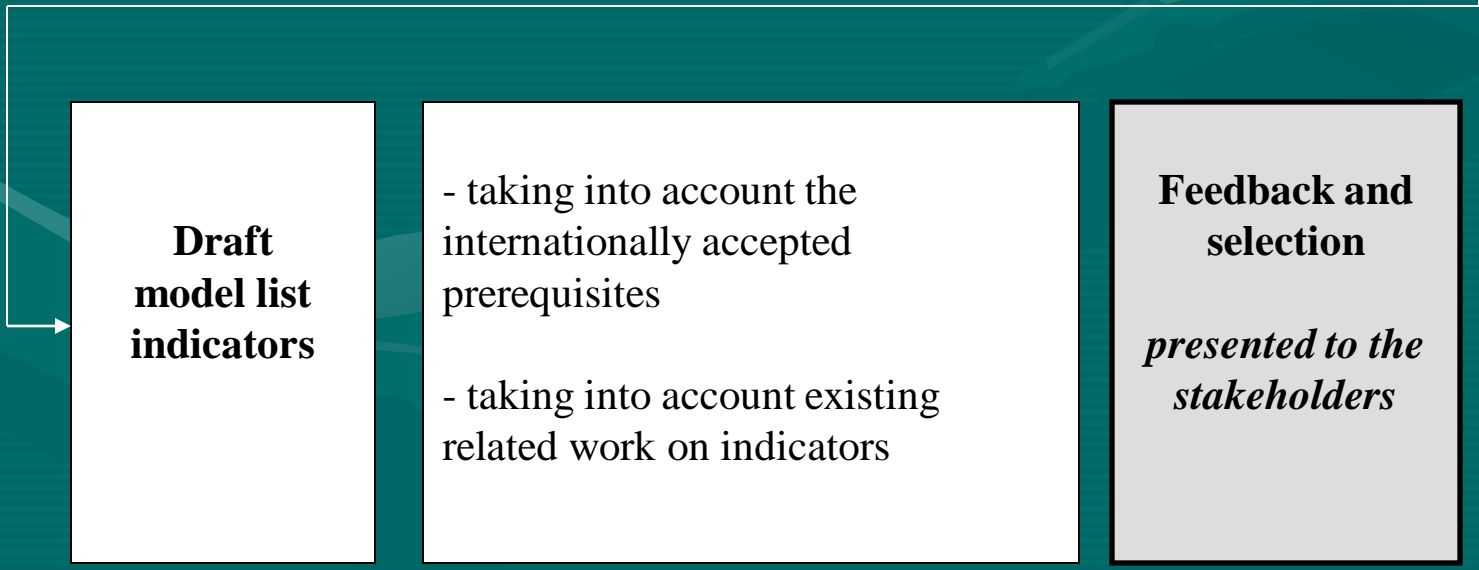
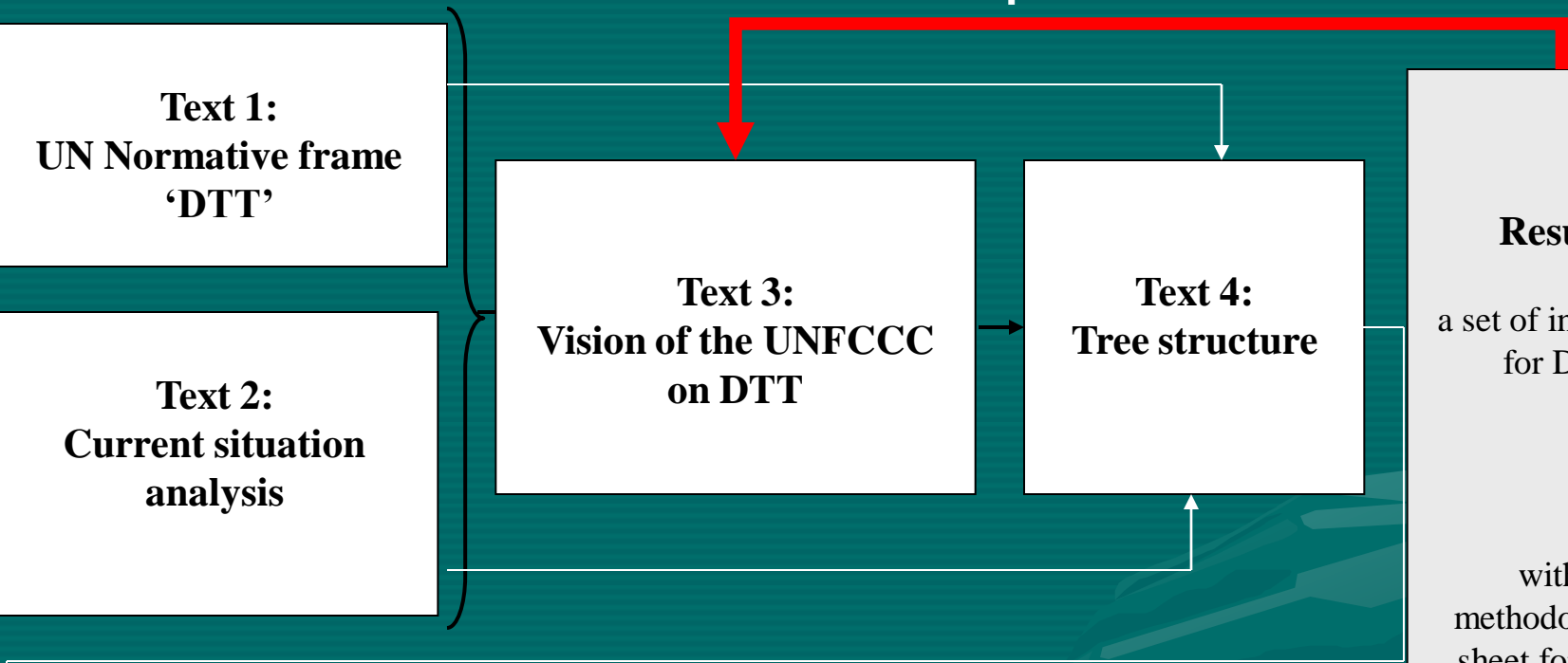
including  
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**Draft  
model list  
indicators**

- 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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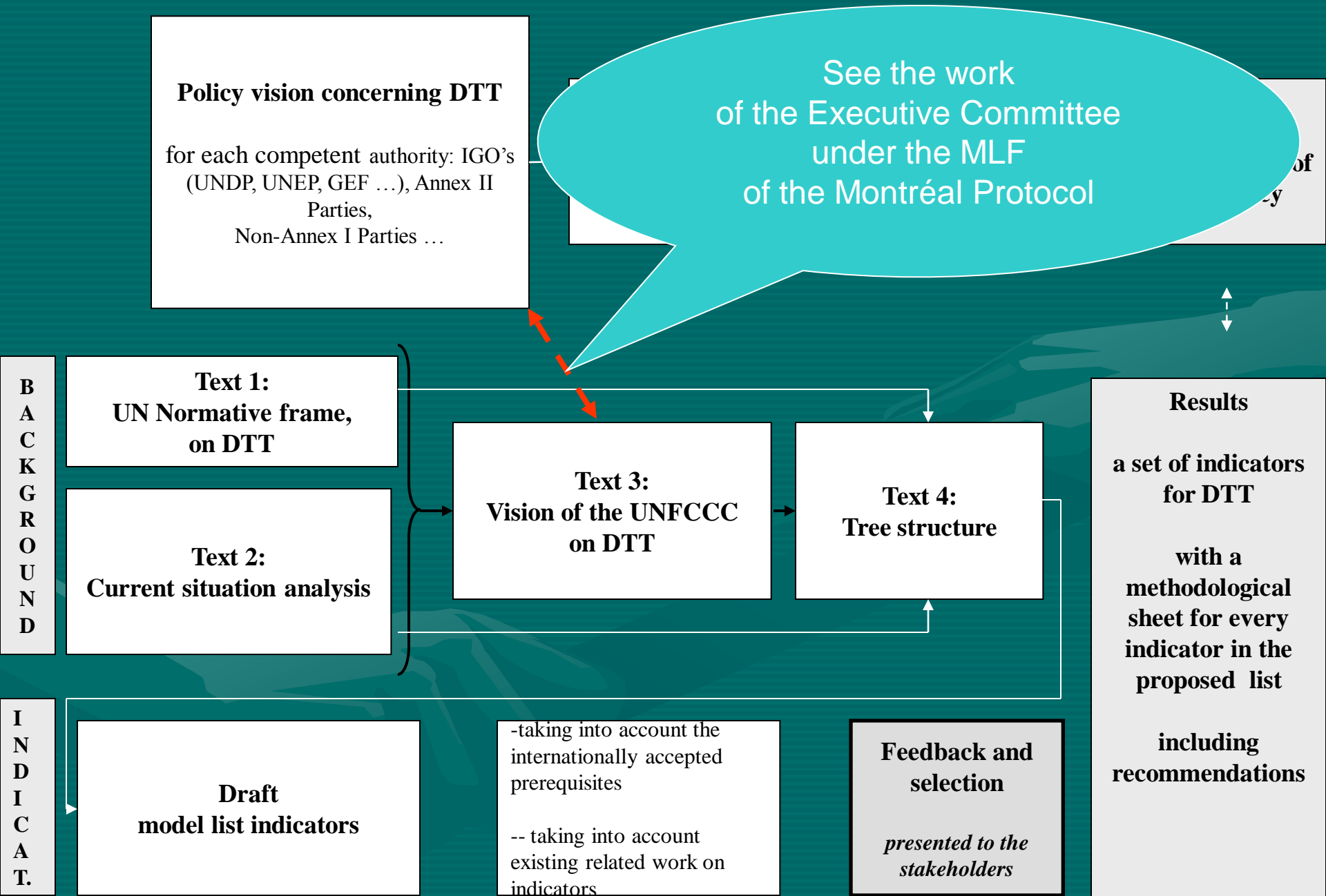
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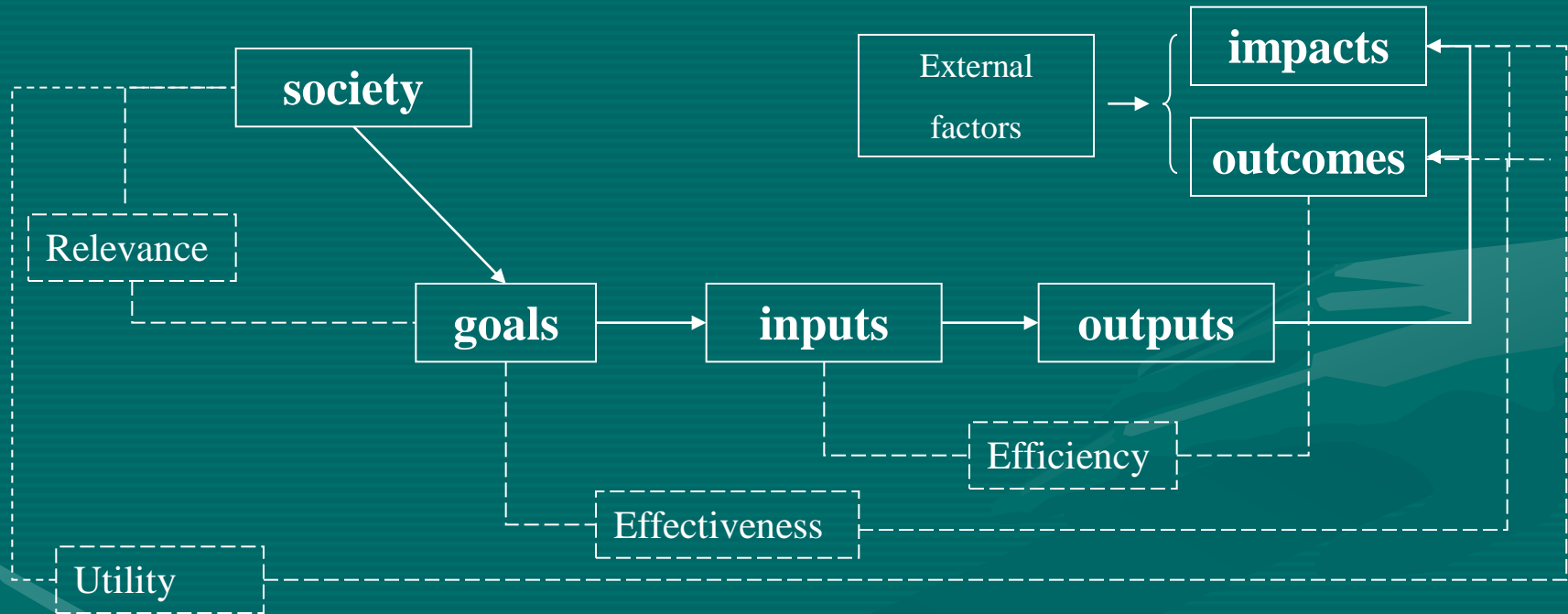
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# Evaluation of a policy



**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?

## 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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**Feedback and  
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*presented to the  
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# 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
3. Re-grouping by stakeholder
4. Re-grouping by indicator category
5. Checking against earlier proposals  
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6. Identification of missing links between vision,  
objectives and effects

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
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# An overview of the number of indicators by key theme and by category

	<b>Input- indicator</b>	<b>Process- indicator</b>	<b>Output- indicators</b>	<b>Outcome- indicators</b>	<b>Total</b>
TNA	7	3	9	1	20
TI	2	4	2	1	9
EE	30	3	28	14	75
CB	6	7	11	10	34
MECH	3	1	19	/	23

## And, in terms of stakeholders the indicators are targetting ...

- 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
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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 EGGT 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

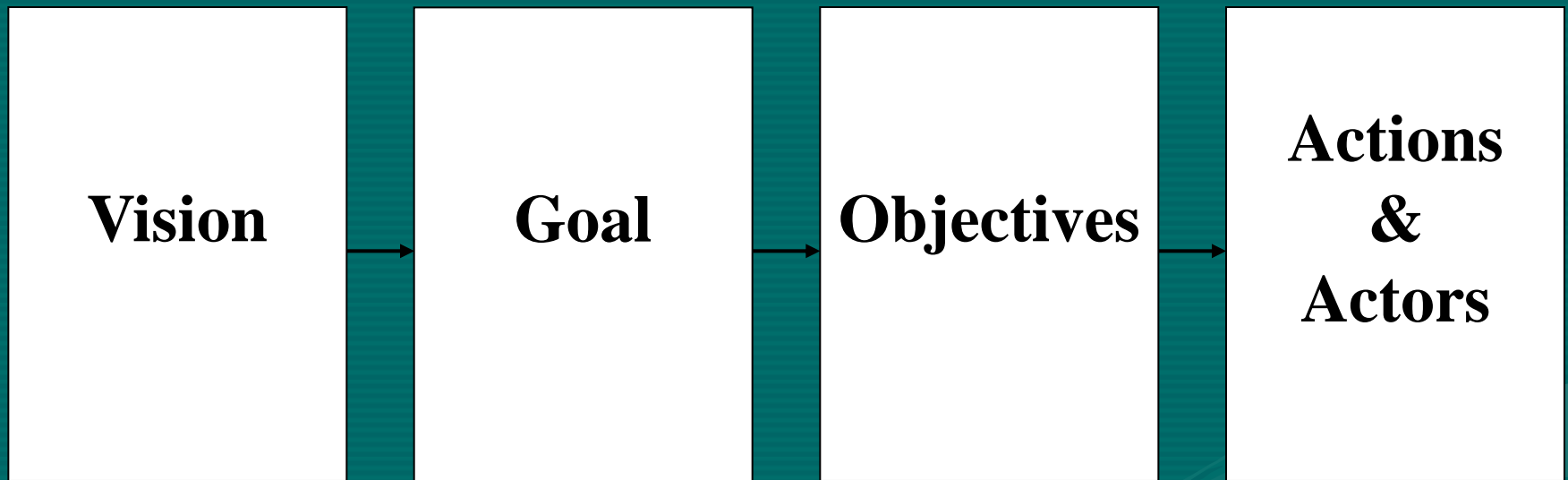
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# Linking with MRV

## (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.



**Monitoring and evaluation**

**Performance indicators = measurable**  
**Methodological sheets = reportable**  
**Transparency = verifiable**



**Thank you.**

**Bernard MAZIYN**

Consultant / Visiting Professor

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