Briefing

Climate change

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Institutionalising adaptation monitoring and evaluation frameworks: Kenya

Policy pointers

National and sub-national public entities need effective adaptation M&E to enable them to draw down adaptation financing from development partners, global funds and others. M&E systems may provide evidence of benefit from those funds as well as help the country meet its development objectives.

It is possible to link adaptation monitoring from community to national levels in a devolved system of government. This is especially important in a country like Kenya where over 70 per cent of the land is arid or semi-arid and highly vulnerable to climatic shocks.

Communities are capable of identifying and prioritising measures of change for adaptation actions in their respective localities when empowered with requisite capacities.

Adaptation monitoring and evaluation requires champions from national to community levels who are motivated and incentivised to operate and maintain the system and are able to demonstrate adaptation tracking.

Climate change adaptation has become a policy priority in most developing countries, despite limited resourcing. With climate finance soon becoming available, countries need to demonstrate that they can absorb, track and assess adaptation investments through effective monitoring and evaluation (M&E) systems. Climate change adaptation M&E is relatively new and the context specificity of adaptation means there is no standardised system. Countries therefore need to design and institutionalise adaptation M&E systems that are customised to their needs at all levels. Kenya began this process with the development of the National Performance Benefits and Measurement Framework. The tracking adaptation and measuring development (TAMD) framework currently being rolled out across Kenya will help create county adaptation M&E systems that will contribute to national assessment and aggregation.

Mainstreaming adaptation monitoring in planning from local to national levels

Over the past two years, Kenya has developed and launched its National Climate Change Action Plan (NCCAP). The action plan is designed around climate change adaptation and mitigation interventions supported by climate finance; an enabling regulatory and policy framework; technology; a monitoring reporting and verification plus system (MRV+);[1] and a knowledge and capacity-building strategy. The action plan recommends several actions for implementation, which will lead to a low-carbon, climate-resilient green economy.

Under the MRV+ system, the action plan proposes nine actions, including: establishing MRV+ system governance structures; defining mitigation and adaptation indicators and creating baselines; piloting M&E of institutional adaptive capacity indicators in a key ministry; M&E of vulnerability indicators in a suitable county; and effective assessment of adaptation at county level.

The design of the adaptation M&E system was based on the TAMD evaluation framework.[2] As part of the MRV+ implementation process, vulnerability indicators were piloted in Isiolo County using TAMD.

Climate change governance structures at all levels play an important role in mainstreaming climate change into planning and ensuring that measures of adaptation benefits can be linked from county to national reporting systems. In Kenya, three counties — Kitui, Makueni and Wajir — are in the process of establishing ward adaptation planning committees (WAPCs), while Isiolo County already has six WAPCs plus a county adaptation planning committee (CAPC). The National Drought Management Authority (NDMA), which is tasked with coordinating adaptation and disaster risk reduction, has devolved structures from national to county level and chairs the CAPC.

When establishing an M&E framework it is important to have all stakeholders on board

These governance structures need monitoring frameworks at each level to track adaptation benefits and development interventions. Isiolo County has used TAMD to identify county-level climate risk management (CRM) processes that will enable adaptation or development interventions at ward level. The CAPC and WAPCs supported by LTSA developed a monitoring framework for Isiolo from 2013–2014. It includes theories of change that will attribute adaptation benefits to CRM processes, indicators, assumptions and M&E plans. This framework will be used to assess adaptation benefits at the ward level and link these to national-level development indicators in the County Integrated Development Plan (CIDP), the NDMA strategic plan, the MRV+ and Vision 2030. In this way, community-level adaptation action contributes to national-level development. Kenya chose the TAMD framework because of the way it clearly integrates a bottom-up approach into planning and monitoring systems at all levels. The framework was also used to empower communities in each of the six wards to develop their own theories of change. This process is linked to a county-level M&E framework and seeks to monitor the CIDP. Isiolo County's CIDP includes integrated adaptation actions. As such, the CIDP M&E system will capture adaptation benefits when reporting.

Acronyms and abbreviations

CAF	County Adaptation Fund
CAPC	County adaptation planning committee
CIDP	County Integrated Development Plan
CRM	Climate risk management
DRR	Disaster risk reduction
M&E	Monitoring and evaluation
MRV+	Monitoring reporting and verification plus system
NCCAP	National Climate Change Action Plan
NDMA	National Drought Management Authority
TAMD	Tracking adaptation and measuring development
WAPC	Ward adaptation planning committees

State-led CRM processes and community-led adaptation

Adaptation in Kenya, especially in the arid and semi-arid lands, seeks to fill a development deficit. Most adaptation actions are therefore not seen as distinct from development and are developed by local communities. In Isiolo, the County Adaptation Fund (CAF) is currently financing over 20 water, livestock and natural resource governance projects in six wards. Climate risk information was used to develop the projects, which were prioritised via ward-level climate resilience assessments.

County governments in dryland areas have planned around drought impacts for a long time. They consider their actions to be development activities, rather than CRM processes to fill development deficits in marginalised communities. Two questions arise from this. Are the CIDP priorities linked to the communities' actual needs? Will any of the county-led CRM processes lead to enhanced resilience?

TAMD was used to identify how the CRM processes (Track 1) being planned by the county government under the CAPC will enhance the performance of the vulnerability reduction interventions (Track 2) being implemented by the WAPCs at community level. This identified four main types of CRM processes:

- strengthening of early warning systems;
- enhanced finance and budgeting processes that include budgeting for climate change;
- disaster risk reduction (DRR) policy development and operationalisation; and
- enhanced project coordination and planning to minimise duplication.

A review of the Track 1 and Track 2 indicators developed by the six WAPCs and the county technical team for planning, water, livestock and natural resource governance showed that the county's envisaged outcomes and impact were similar to the communities' aspirations in the long term. The only difference was that the county would use CRM processes to create an enabling environment for communities to implement their adaptation actions and enhance their resilience in the long term.

Figure 1: Links between national development indicators and local adaptation benefits

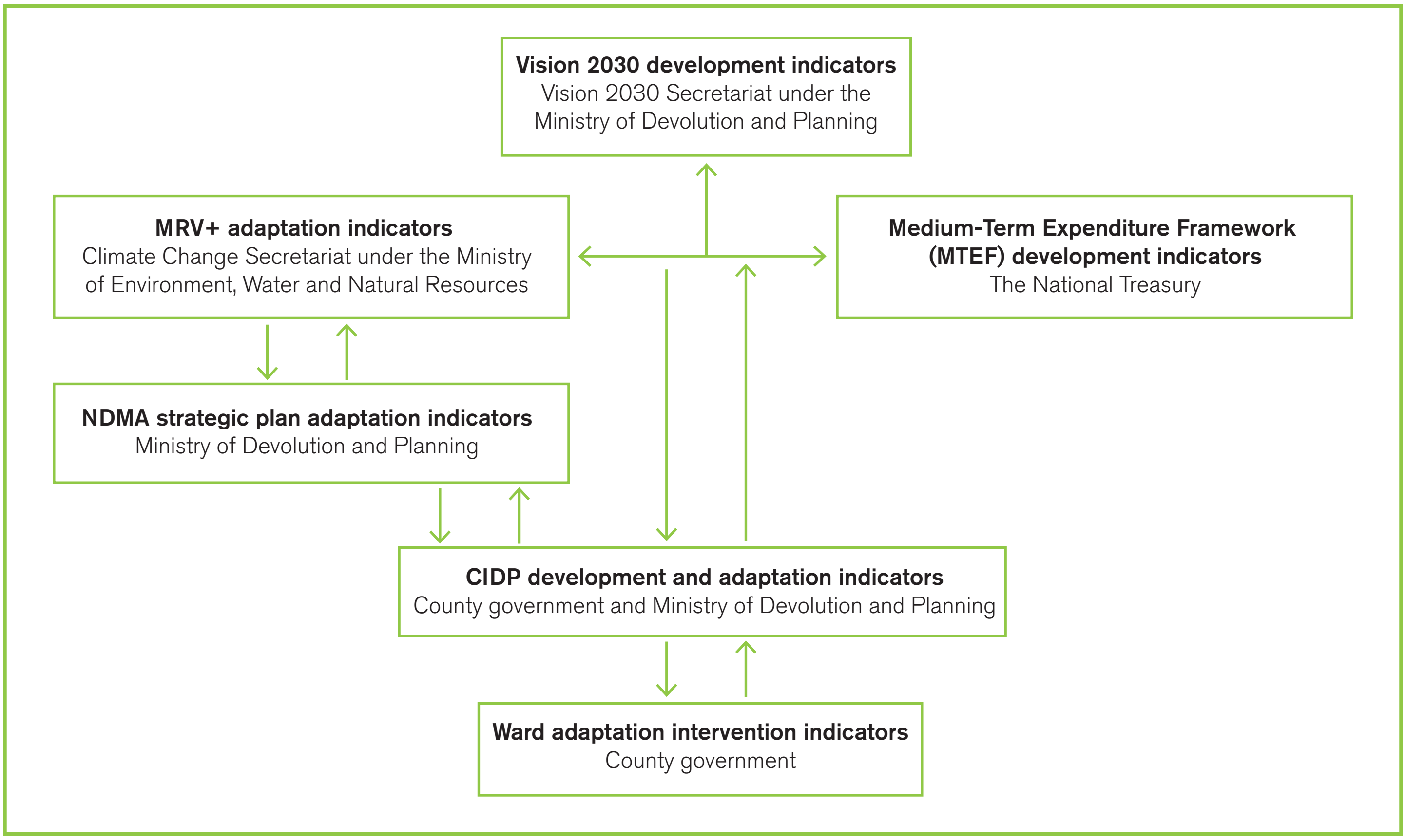
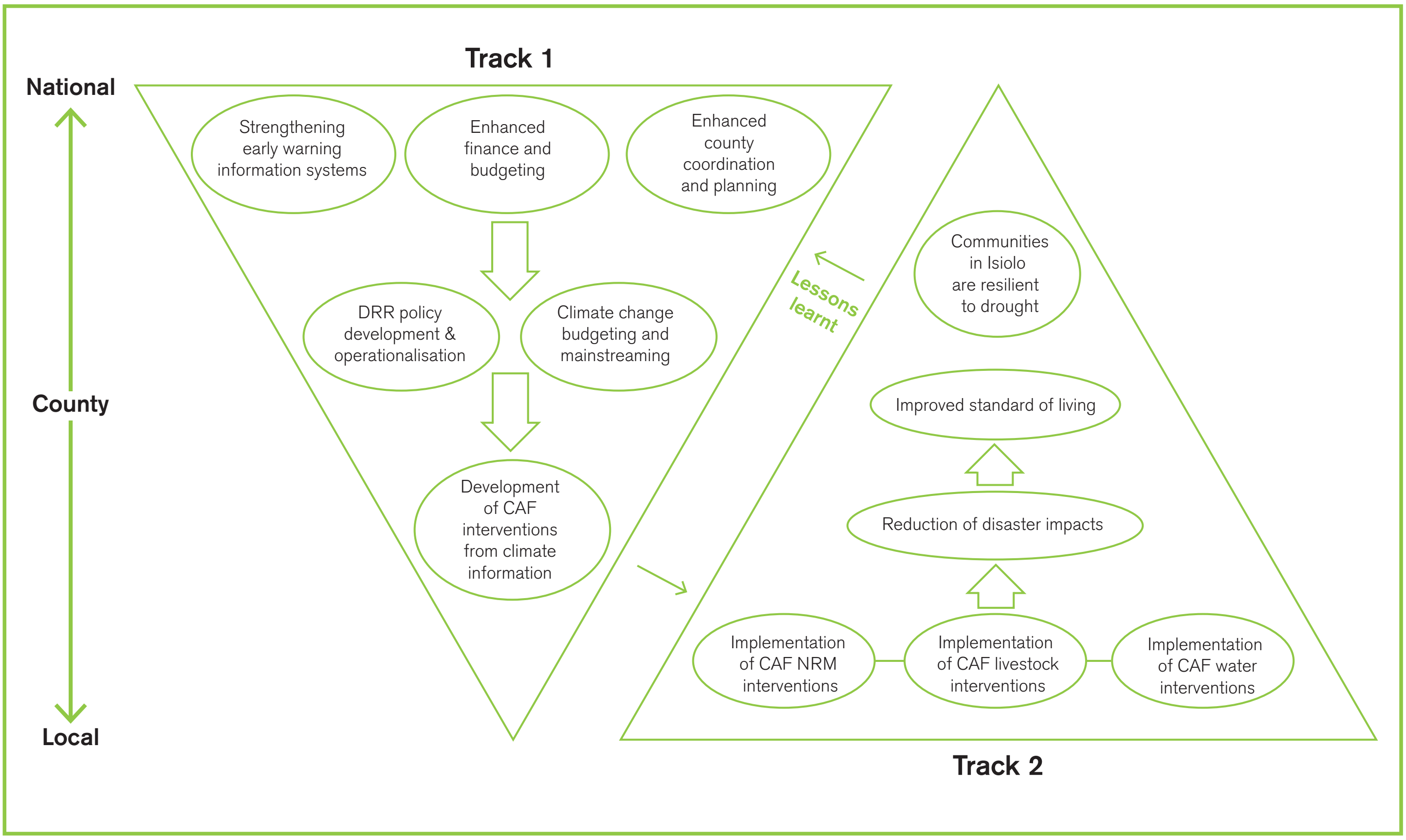


Figure 2: The interconnectedness of Track1 and Track 2 activities



Source: Karani and Kariuki (2013).[3]

Enabling adaptation fiscal monitoring systems

The CIDP is financed through the five-year medium-term expenditure framework. The Constitution of Kenya (2010) makes it mandatory for county governments to subject their planning, budgeting and accountability to public participation. Thus, if adaptation interventions are embedded and financed through the CIDP, the TAMD framework allows the benefits to be tracked and verified through participatory processes at ward and county level.

Chapter 12 of the new constitution also contains a number of provisions and principles that introduce major changes in public financial management. Some of these have been incorporated into the Public Financial Management Act 2012, including:

- open accountability and public finance participation;
- public expenditure that promotes equitable development and addresses marginalised areas and groups;
- equitable sharing of debt benefits and burdens between current and future generations;
- prudent and responsible use of public resources; and
- responsible financial management with clear fiscal reporting.[4]

These new provisions in the constitution require a shift from the previous business-as-usual scenario where public participation in financial accountability was not a requirement. They also require champions, especially at county level, to ensure that public participation is effectively done. In Isiolo, the County Planning Unit has taken up this role. The WAPCs were involved in integrating adaptation actions into the CIDP, and there are advanced plans to integrate the WAPCs into the County Ward Development Committee, which is responsible for planning, budgeting, monitoring and evaluating ward-level projects.

Lessons learnt

- When establishing an adaptation M&E framework, it is important to have all stakeholders on board as everybody has a role to play in designing adaptation actions, collecting and analysing monitoring data and reporting. Isiolo now has a strong team of ward and county representatives who can design indicators and collect adaptation monitoring information.
- A comprehensive M&E system that is designed to collect adaptation outcomes and climate trend information is crucial if enhanced resilience is to be proved through an evaluation process. This system needs to be well resourced with human and financial resources if it is to work.
- It is possible to find climate risk management cause and effect linkages between national and ward-level activities, especially if they are related to DRR interventions in an arid and semi-arid county.
- Distinguishing the difference between adaptation and development indicators can be a challenge and of little practical benefit, especially in a geographical area where most development interventions are geared towards disaster risk reduction or building adaptive capacity. Within the TAMD framework, it is not necessary to distinguish between the two as long as development objectives and resilience objectives are coherent. However, the monitoring of climate trends and adjusting or normalising indicators thereafter distinguishes adaptation benefits from development outcomes.

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Notes

[1] www.kccap.info/index.php?option=com_phocadownload&view=category&id=40 / [2] See: www.iied.org/tracking-adaptation-measuring-development / [3] Karani, I and Kariuki, N (2013) *TAMD, Quarter 3 Report. Kenya feasibility testing phase.* IIED. http://pubs.iied.org/10088IIED / [4] Republic of Kenya (2012) *National Climate Change Action Plan. Finance absorptive capacity development plan.*