

# Approach to Developing M&E Framework for the Uttar Pradesh SAPCC (2021–2030)

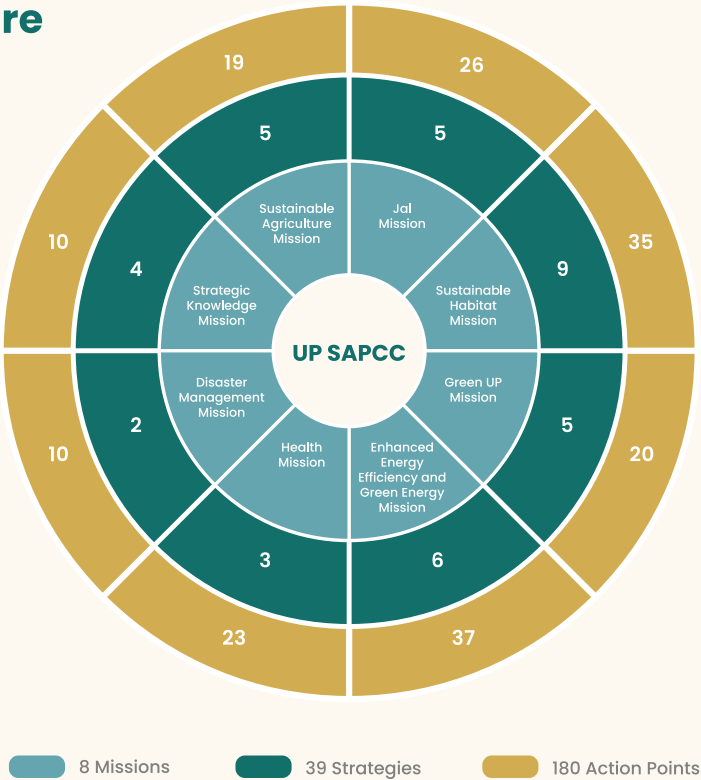
December 2022

# Context

The National Action Plan on Climate Change (NAPCC) was released by the Prime Minister’s Council on Climate Change (PMCCC) in June 2008. It has eight National Missions that focus on promoting climate change adaptation and mitigation solutions. In 2009, Government of India directed all State governments and Union Territories to prepare SAPCCs aligned with strategies outlined in the NAPCC. The Government of Uttar Pradesh (GoUP) drafted the first SAPCC in 2014. The UP Department of Environment, Forest and Climate Change (DoEFCC), as per the guidance document of MoEFCC has revised the SAPCC with technical support from GIZ as part of the Indo-German technical cooperation project on Climate Adaptation and Finance in Rural India (CAFRI). A critical ingredient of the revised UP SAPCC is a robust M&E system to better plan, manage, monitor, and evaluate implementation activities under the eight missions of the SAPCC. The UP DoEFCC in cooperation with GIZ and Sambodhi Research and Communications Pvt. Ltd. has initiated the process of development and implementation of M&E framework for the revised UP SAPCC.

## UP SAPCC Structure

UP SAPCC has eight Missions based on different sectors. Each sector has some adaptation or mitigation strategies based on priority areas identified. These strategies are divided into implementable action points. For each action point, there is a corresponding target (2021 – 2025, 2026 – 2030) and estimated budget requirement. The eight Missions are represented by 39 strategies and 180 action points.





# Need for a M&E Framework for the revised UP SAPCC

- Aligns strategies and action points in SAPCC with existing schemes, policies and their data architecture
- Reflects action points through SMART\* indicators mapped to different time frames (immediate, mid-term and long-term)
- Facilitates creation of a data collection, flow and management system through coordinated efforts by all relevant line departments
- Provides clarity on metrics to be used, defines roles and responsibilities of concerned stakeholders
- Tracks progress of implementation activities in achieving targets aligned with each indicator (effectiveness and accountability)
- Evidence generated on progress, helps line departments tweak policies, programmes, partnerships and resourcing to meet envisaged targets (learning)

*\*SMART: Specific, Measurable, Achievable, Relevant and Time-bound*

## Methodology for Developing M&E Framework

### Step 1

#### Creating a comprehensive list of indicators

- Review of relevant documents (UP SAPCC, DEMP, UP SDG Vision 2030, NITI Aayog SDG Index, MoSPI Documents)
- Convergence of Action Points/Strategies with SAPCC Vulnerability Indicators, Priority Areas, SDG Targets, NITI Aayog SDG Indicators
- Mapping Schemes/Programmes to Action Points/Strategies
- Aggregation of indicators at Action Point, Strategy and Mission level (remove redundancies)

### Step 2

#### Shortlisting of indicators

- Criteria for shortlisting
- a. Shortlist intermediate and outcome indicators
  - b. Identify indicators 'relevant to strategy'
  - c. Identify indicators that provide a 'holistic perspective'

### Step 3

#### Consultation with line departments

*(Multistakeholder engagement in a participatory approach)*

- Validate the following:
- a. Data availability
  - b. Relevance to strategy
  - c. Data source
  - d. Holistic perspective

### Step 4

#### Reviewing and finalizing Mission level indicators

- Criteria for finalizing
- a. Data availability
  - b. Relevance to strategy
  - c. Mapping to more than one strategy
  - d. Holistic perspective

*Caveat: While the focus and effort has been on drawing existing data monitoring systems, there has been instances where the team has developed indicators in certain cases where there was no scheme/programme mapping*

# Review and Finalize Mission level indicators

## Criteria for Finalizing

### Data Availability

Through discussion with stakeholders, data availability of indicators is verified. A score of '1' is recorded if the data is available, otherwise '0'.

### Relevance to Strategy

The indicators are also checked for being of relevance at the strategy level. If the indicator tracks the progress made towards a particular strategy, it is scored '1'. Otherwise, a score of '0' is recorded

### Mapping to more than one strategy

Indicators that are mapping to more than one strategy are given a score of "1" and indicators that are mapping to only one strategy are given a score of "0"

### Holistic perspective

Indicators that provide an overview of the mission and contribute towards long term changes in climate and environment are coded as "1". Otherwise, a score of '0' is recorded

*Scoring criteria: Indicators will be scored individually on the above 4 parameters. The summation of all 4 scores will be recorded as: 0 – 1 = Low priority; 2 = Medium priority; 3 – 4 = High priority*

## Process for shortlisting M&E indicators at Mission level (Step 2, 3 & 4)



Compile comprehensive list of indicators from schemes/programme mapping



Shortlist intermediate and outcome level indicators



Identify indicators that are relevant to strategy (Categorize as 1 or 0)



Identify indicators that provide a holistic perspective (Categorize as 1 or 0)



Consultation with line departments  
(Multistakeholder engagement in a participatory approach)

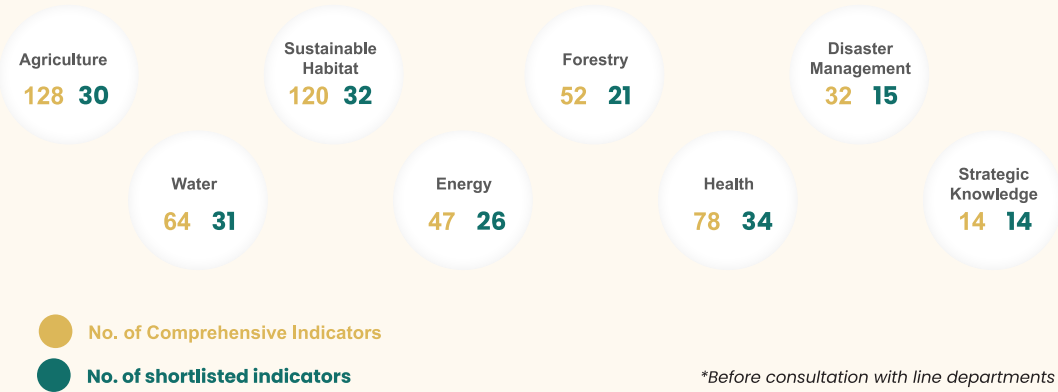


Finalize indicators based on criteria

- Relevance to strategy
- Data availability
- Holistic perspective
- Mapping to more than one strategy



# Mission wise shortlisted indicators\*



## Consultation with Line Departments (Step 3)

DoEFCC-GoUP, GIZ and Sambodhi organized a two-day consultative workshop on “Framework Development of a Monitoring and Evaluation (M&E) system for the revised UP SAPCC” on the 8th and 9th December 2022 in Lucknow, UP.

Objective: To garner inputs and insights to craft a relevant, practical and effective M&E framework and to highlight solutions to strengthen institutional mechanisms for implementation of the framework.

No.	Mission	Participating Departments
01	Sustainable Agriculture	Agriculture, Horticulture & Food Processing, Fisheries, Animal Husbandry, Dairy Development, Sugarcane Development, NABARD, Remote Sensing Application Center, Panchayati Raj, Indian Meteorological Department (IMD), Minor Irrigation, Sugar Industry & Cane Development Department
02	Jal	Ground Water Department, Minor Irrigation, Namami Gange and Gramin Jalapurti Vibhag, Irrigation & Water Resources, UP Jal Nigam (rural), UP Jal Nigam (urban), Public Works Department (PWD), State Water Resources Agency (SWaRA), State Mission for Clean Ganga
03	Sustainable Habitat	Panchayati Raj, Rural Development, Urban Development, Infrastructure and Industrial Development, MSME & Export Promotion, PWD, UP Pollution Control Board (UPPCB), Housing & Urban Planning, Directorate of Local Bodies, UP State Road Transport Corporation (UPSRTC), Transport Department
04	Enhanced Energy Efficiency and Green Energy	UP New and Renewable Energy (UPNEDA), Directorate Electrical Safety, UPSRTC, Transport Department, UP Power Corporation Ltd. (UPPCL), UP Council of Science & Technology, MSME & Export Promotion, UP Rajya Vidyut Utpaadan Nigam (UPRVUNL)
05	Disaster Management	UP State Disaster Management Authority (UPSDMA), Relief Commissioner, Remote Sensing Application Centre, IMD
06	Green UP	Forest Department, UP Forest Corporation, UP Biodiversity Board, Directorate of Environment, Forest & Wildlife, DoEFCC
07	Health	Department of Medical Health & Family Welfare

Shortlisted indicators were reviewed in consultation with relevant line departments to obtain their perspective on ‘relevance of indicators’ to the SAPCC strategies. Discussions were held to confer data availability, periodicity, responsibility and additional data sources for each of the shortlisted indicators. Participants provided their perspectives on KPIs that track medium and long-term climate and climate adjacent outcomes. They also deliberated about the feasibility of the existing data architecture to provide periodic data. Several suggestions to buttress the M&E system were provided.



### **Published by**

**Directorate of Environment (DoE) and UP Climate Change Authority**  
**Department of Environment, Forest & Climate Change**  
Government of Uttar Pradesh  
E: [doeuplko@yahoo.com](mailto:doeuplko@yahoo.com)

### **Technical Support**

**Climate Adaptation and Finance in Rural India (CAFRI)**  
**GIZ-Office India**

A2/18, Safdarjung Enclave,  
New Delhi 110 029 India  
T: +91 11 4949 5353  
F: +91 11 4949 5391  
E: [info@giz.de](mailto:info@giz.de)  
I: [www.giz.de](http://www.giz.de)

### **Sambodhi Research and Communications Pvt. Ltd.**

C-126, Sector 2, Noida, UP  
T: +91 120 4056400-99, +91 120 4127069  
E: [connect@sambodhi.co.in](mailto:connect@sambodhi.co.in)  
I: <https://sambodhi.co.in/>

### **Authors and Contributors**

Mr. Ashish Tiwari, Secretary, Department of Environment, Forest & Climate Change, UP  
Mr. Kirtiman Awasthi, Dr. Sarat Kannepalli, Ms. Johanna Jagnow, Mr. Manas Dwivedi: GIZ  
Ms. Kadambari Anantram, Dr. Saikumar C. Bharamappanavara, Ms. Priti Bharadwaj, Mr. Kaustav Ghosal: Sambodhi