Workshop Session 2

Proposed Evaluation Framework: Evaluation Questions

Instructions:

1. **Review** the draft evaluation framework outlined in the attached worksheet.

2. Spend about 15 minutes each on the three phases, **discussing** the proposed evaluation questions.

3. **Write** your comments and feedback in the space provided in this worksheet.

Following the breakout discussions, we will discuss the following questions in the full-group discussion:

- The draft questions are not specific to different planning processes. Is it important to develop *plan-specific* questions? For example, are there questions specific to Local Hazard Mitigation Plans or Local Coastal Programs that should be included?

- Similarly, are there key questions that should be the same across *all* planning processes?

- In addition to identifying progress relative to the three phases in the evaluation framework, is it important to tease out the maturity of efforts? In other words, is it important to distinguish between early or "initiation" versus mature or "leading" efforts? For example, two different jurisdictions may both be in the "awareness" phase, but they may reflect very different levels of maturity and capacity. Is it important to capture this level of specificity? If so, are there recommendations on how to build this into the proposed evaluation framework?

OPR will use this feedback to refine the proposed evaluation framework that will be used for a 2018 baseline report on adaptation efforts.

Which planning process group did you join?   _____

If you are comfortable with OPR contacting you with follow-up questions, please provide your name and email address below.

Name: _____

Email: _____

☐   Add me to the ICARP listserv

	Process STEPS	DESCRIPTION	DRAFT EVALUATION QUESTIONS	FEEDBACK/COMMENTS
Phase 1: Awareness	**1. Detect the problem**	Initiation step brought on by a "signal" indicating some type of change or problem. "Signals" can include disasters, release of new information/study, high-level political statement, or policy change	• What triggered the jurisdiction/agency's awareness and initial response? • Does the plan include climate considerations? • What climate impacts are addressed?	
	2. Gather/use information	Once a "signal" or problem is acknowledged, a process is started by gathering and using additional information to better understand the problem; at this stage, the problem must be perceived as a priority.	• How were data gathered/used (consultant, in-house, public tools)? • Were vulnerable communities identified/defined? • Does the plan include a risk assessment that addresses climate change impacts?	
	3. (Re)define the problem	The "signal" or problem is recognized as a priority and determining a response is needed. Potential pathways forward, or solutions, are understood, suggesting the potential for action, not inaction.	• Does the risk assessment address the effects of climate change on environmental, built, and/or social systems? • Does the risk assessment qualitatively address climate impacts? • Does the risk assessment quantitatively address climate impacts? • Is climate change adaptation identified as a planning priority? • Is there support or engagement from executive staff in process?	

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Phase 2: Analysis	**4. Develop options**	After establishing the need for action, a series of potential solutions or "options" are developed. Typically, this step requires locally specific information gathered through both quantitative research and qualitative assessment.	• Does the plan include potential climate adaptation or resiliency actions or strategies?
			
			• Are there any existing capabilities (policies, plan, funding, etc.) identified that relate directly to climate change?
			
			• How were options assessed in the community?
			
			• Were vulnerable communities engaged?
			
			• Does the plan include evaluation criteria to assess feasibility of potential climate adaptation or resiliency actions?
			
			• Are there feasibility criteria related to:
			  o Political context
			  o Fiscal or economic resources
			  o Priority relative to other planning/community priorities
			  o Environmental impacts
			  o Social equity considerations
			  o Technical feasibility
			
			• Does the plan include prioritized/ recommended actions?
			
			• Are the actions planning or implementation related (e.g. are the actions related to conducting additional assessment or studies, or plan development.)?
			
			• Does the plan outline selected actions? Is there commitment to implement, or only recommendations?	

	5. Assess options	The defined "options" are assessed against a series of different feasibility criteria, typically including political, legal, economic, and technical considerations.		
	6. Select option(s)	Using the assessment criteria, options are selected and proposed for implementation. This process may also result in "options" that require returning to a previous step (e.g. additional data or information is needed to assess a set of options, requiring a return to *step 2: gather and use information*).		

	STEPS	DESCRIPTION	DRAFT EVALUATION QUESTIONS	FEEDBACK/COMMENTS
Phase 3: Action	**7. Implement options**	Implementation is an iterative process to overcome the following common impediments: 1. Accountability to hold decision-makers/responsible parties to a threshold of actual intent to implement 2. Obtaining authorization 3. Securing resources 4. Clarity and specificity on what to do 5. Legal and procedural barriers 6. Maintaining momentum to overcome behavioral obstacles, status quo, and competing priorities and interests 7. Course corrections to respond to unintended outcomes	• Is there an implementation plan for each of the adopted actions? • Does this plan include an accountability process? • Is there a funding/investment plan? • Is there a monitoring and evaluation process? • Does the monitoring process include both action "outputs" (e.g. implementation milestones and activities) and "outcomes" (e.g. metrics to track adaptation outcomes resulting from implementation)?	
	8. Monitor options & environment	Ongoing monitoring of both implementation actions (outputs), as well as outcomes. The monitoring process should answer the following questions: ✓ Are the implementation actions taking place (outputs)? ✓ Are the implementation actions achieving the intended outcomes? Monitoring is critical to deliberative learning, a key component to adaptation and adaptive management processes.		
	9. Evaluate	Evaluation allows for possible course corrections or adjustments; if corrections are needed, this often triggers returning to a previous step, initiating an iterative process.		