

Clare Hamilton
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Dear Clare,

I am writing on behalf of the Adaptation Sub Committee (ASC) to provide high-level advice on taking an outcomes-based approach for the second Scottish Climate Change Adaptation Programme (SCCAP), as requested by the Scottish Government. We recognise the Scottish Government's general move to adopt an outcomes focus, including through the most recent consultation on the National Outcomes.

In the ASC's first assessment of the SCCAP the committee concluded that positive actions were underway but that Scotland remains vulnerable to the impacts of climate change. A lack of evidence meant that it was difficult to tell what the actions were achieving, and whether risks were being adequately managed. The first SCCAP included three outcomes (listed in the accompanying Annex) which were clear, focussed and set out as end points. However, they are difficult to measure progress towards. There is an opportunity for the Scottish Government to build on and improve these outcomes in order to develop a better overall framework in the second SCCAP.

For the second SCCAP, the committee recommends that consideration of the key adaptation risks should act as the stimulus for a new set of outcomes. The outcomes chosen should address these risks. We further recommend that each outcome is supported by intermediate outcomes (targets) that are quantified and measurable e.g. if an outcome is to 'increase natural capital', this should be supported by a number of intermediate outcomes including for example increasing the current area of forest/peatland by a certain amount, or ensuring populations of specific species are maintained at current levels. It is the inclusion of these quantitative intermediate outcomes that allows progress to be measured most effectively.

The intermediate outcomes need to in turn be linked to quantified actions and the risks that are being addressed through those actions. The Scottish Government should:

- List the specific actions that will be taken to achieve each intermediate outcome, together with appropriate milestones and timescales.
- Set out the indicators that will be used to assess progress against the intermediate outcomes.
- Introduce an effective monitoring regime, to allow the impact of actions and the indicators to be fully assessed.

In developing its revised framework and choosing its outcomes, the Scottish Government could draw on existing outcomes-based approaches and related guidance. For example by:

- aligning adaptation outcomes to the Scottish Government's own national outcomes.

- using the HM Treasury Magenta Book,¹ the recommended central guidance for all UK government departments on evaluation.
- learning from outcomes-based approaches taken in other countries e.g. The Netherlands' approach to flood protection in its Delta Plan.

We provide further details on each of these in the accompanying Annex.

The ASC have also been asked by the Scottish Government to produce a second evaluation of the first SCCAP, which the Committee will publish in January 2019. As part of this report we will assess the usefulness of current indicators and metrics and identify future potential improvements.



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¹ HMT (2011) *Magenta Book: A Guidance for Evaluation*

ANNEX:

1.1 Scottish Climate Change Adaptation Programme current outcomes

Outcome 1: A Scotland with a productive, healthy and diverse natural environment which is able to adapt to change.

Outcome 2: A Scotland with well-managed, resilient infrastructure and buildings providing access to the amenities and services we need.

Outcome 3: A Scotland with strong, healthy, resilient communities which are well informed and prepared for a changing climate.

1.2 Scottish Government national outcomes

There are currently 16 overarching national outcomes to describe goals for the next ten years.² The Scottish Government is in the process of consulting on a revised set of outcomes. These are linked to the sustainable development goals and an accompanying new indicator set. A National Performance Framework incorporating these outcomes is due to be launched on 12th June 2018.

Of the revised outcomes, the Scottish Government have identified eight which could be relevant to the SCCAP:

- We have a globally competitive, entrepreneurial, inclusive and sustainable economy
- We respect, protect and fulfil human rights and live free from discrimination
- We are open, connected and make a positive contribution internationally
- We live in communities that are inclusive, empowered, resilient and safe
- We have thriving and innovative businesses, with quality jobs and fair work for everyone
- We are healthy and active
- We value, enjoy, protect and enhance our environment
- We are creative and our vibrant and diverse cultures are expressed and enjoyed widely

The success of meeting these national outcomes is linked to Scotland's success in adapting to climate change; the first cannot be done in the absence of the second. Therefore, we recommend that the outcomes in the second SSCAP are linked to these national outcomes. This linking could also help in expanding the evidence base on what progress there has been towards meeting the national outcomes. For example, achieving full economic potential or other economic objectives should not just include changes in Gross Domestic Product but a wider range of indicators measuring sustainability and resilience, including use of natural capital accounting.

1.3 HM Treasury's Magenta Book

The Magenta Book is the recommended central guidance for government on evaluation, setting out best practice for departments to follow. The book is:

- complementary guidance to the HM Treasury Green Book, which presents the recommended framework for the appraisal and evaluation of all policies, programmes and projects.
- useful for all policy makers and analysts, including those in local government and the voluntary sector.

² <http://www.gov.scot/About/Performance/scotPerforms/outcome>

- a presentation of standards of good practice in conducting evaluations, and seeks to provide an understanding of the issues faced when undertaking evaluations of projects, policies, programmes and the delivery of services.
- not a textbook on policy evaluation and analysis. Rather, it is written and structured to meet the specific and practical needs of policy makers and analysts working in public policy.

It focusses on:

- how evaluations should be designed and managed;
- Outlining some of the different evaluation options available;
- how evaluation improves policy making;
- how evaluation results and evidence should be interpreted and presented;
- how thinking about evaluation before and during the policy design phase can help to improve the quality of evaluation results.

The table below shows useful HMT definitions, HMT and ASC examples and possible Scottish Government application, which could be drawn upon in the second SCCAP.

Term	HMT Definition	HMT Example/ ASC example	SCCAP application
Inputs	Resources required to achieve the objective	Number of people needed/ SEPA resources	Described in analysis - context
Activities	What is delivered to the public	Provision of training, reports, guidance/ New flood defences	Actions
Outputs	What the recipient does with the resources, what is received, what the intervention is	Number of completed training courses/ Number of properties protected	Sometimes actions, sometimes trends in vulnerability
Intermediate outcomes	The intermediate outcome achieved as a result of the outputs	Jobs created, reduced costs, opportunities provided/ Flood damage reduced and any co-benefits produced	Intermediate outcome (i.e. targets)
Impacts (outcomes)	Wider economic and social outcome	Change in wellbeing/ People protected from flooding	Overall outcome

1.4 Examples from other countries

Dutch Delta Plan – ‘analysis, ambition, action’ framework

In the Netherlands Flood Protection Programme³ one of the ambitions (goals) is aimed at having all flood defence systems meet new standards by 2050. The new standards aim to ensure a minimum protection level of 10^{-5} per annum for every resident of the Netherlands living behind a primary dyke or dam by no later than 2050 (i.e. this means that the probability of dying as a result of a flood is no higher than 1 in 100,000 a year at individual level).

Evaluation of Canada’s Clean Air Regulatory Agenda (CARA)

CARA was established in 2006 to provide a coordinated framework to incorporate both regulations and alternative (non-regulatory) instruments and deliver an integrated, nationally consistent approach to the reduction of air pollutants and greenhouse gases (GHGs). For the purposes of evaluation, a CARA logic model was created, and performance was assessed against eight immediate/intermediate outcomes.

<https://www.ec.gc.ca/ae-ve/default.asp?lang=En&n=BB601FB4-1>

Evaluation of the Sustainability Reporting and Indicators Program

The Sustainability Reporting and Indicators Program works with other government departments, through the Canadian Environmental Sustainability Indicators (CESI) program, to provide data and information on the state of the environment and to measure the progress toward the goals and targets of the Federal Sustainable Development Strategy. The program has two logic models which include ten direct outcomes, five intermediate outcomes and two long-term outcomes.

<https://www.ec.gc.ca/ae-ve/default.asp?lang=En&n=CD582DCA-1>

Ireland – Environmental Protection Agency

- Local Authority Environmental Enforcement

The EPA provide guidance to Local Authorities on environmental enforcement performance measurement. They set out the reporting of intermediate outcomes to ensure that notable successes achieved, and positive or negative milestones are captured. This includes the range and scope of public awareness actions by local authorities, and projects or activities to extend or enhance their environmental protection functions. In their Baseline Enforcement Report under intermediate outcomes, the EPA presents selected case studies of notable projects and good practice from among the many environmental enforcement projects run by local authorities.

http://www.epa.ie/pubs/reports/enforcement/performanceframework/EPA_LA_Enforcement_How_it_works.pdf

http://www.epa.ie/pubs/reports/enforcement/performanceframework/EPA_LA_EnforcementReport2014_baseline_report.pdf

³ <https://deltaprogramma2018.deltacommissaris.nl/viewer/paragraph/1/2-delta-programme-/chapter/1-delta-plan-on-flood-risk-management/paragraph/1-flood-protection-programme>

- **Urban Wastewater Treatment**

The EPA takes a risk based and outcome driven approach to licence enforcement. The outcome sought is to protect high quality waters from the impacts of waste water discharges, restore the quality of waters seriously impacted by waste water discharges, prevent environmental pollution by waste water discharges and improve compliance with the Urban Waste Water Treatment Directive. The EPA enforcement strategy focuses on five intermediate outcomes in working towards the final goal.

<http://www.epa.ie/pubs/reports/water/wastewater/Focus%20on%20Urban%20Waste%20Water%20Treatment%20in%202012%20-%20web%20copy.pdf>

New Zealand – Ministry for the Environment: A Generation From Now – Our Long Term Goals

This document includes a set of outcomes that detail the long-term environmental goals and intermediate targets that aim to encourage New Zealand's economic, social and cultural prosperity without compromising their environment for future generations. This covers different aspects of the environment such as air, atmosphere and climate, fresh water, land, marine, urban and environmental management systems with each including long-term outcomes and targets as well as intermediate outcomes and targets to help them measure progress.

<http://www.mfe.govt.nz/sites/default/files/media/About/generation-from-now-outcomes.pdf>

OECD - Outcome Performance Measures of Environmental Compliance Assurance: Current Practices, Constraints and Ways Forward

This 2010 report by the OECD Environment Directorate analyses the experience of ten OECD countries in the design and implementation of quantitative indicators used to assess the outcomes of environmental enforcement authorities' efforts to ensure compliance with pollution prevention and control regulations. The report considers six types of intermediate and final outcome performance measures, including compliance rates and indicators of improved environmental management practices and reduced risk.

<https://www.oecd-ilibrary.org/docserver/5kmd9j75cf44-en.pdf?expires=1526288415&id=id&accname=guest&checksum=D2F408A0BFF120C45D482E7E9DD5EA03>

UN Sustainable Development Goals

The Sustainable Development Goals (SDGs) are a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity. These 17 Goals build on the successes of the Millennium Development Goals, while including new areas such as climate change, economic inequality, innovation, sustainable consumption, peace and justice, among other priorities. These 17 goals are supported by 169 associated targets, including on means of implementation and measuring progress.

http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/70/1&Lang=E