



Module 6:

Monitoring, Evaluation & Adaptation

In this module:

[Learn how monitoring outcomes can reinforce human rights efforts](#)

[Develop key performance and success indicators to track alignment with the Principles and Safeguards](#)

[Gather feedback, evaluate it, and implement changes as needed](#)

Wenland Case Studies:

[6A. Monitoring, Evaluation & Adaptation](#)

Introduction

This module provides guidance on monitoring, evaluation and adaptive management of TNC's human rights-based approach to working with IPLCs. This work is a process of continuous learning and improvement through analyzing the outcomes and impacts of our actions.

Monitoring, evaluation and adaptation are substantive elements of human rights work, as well as essential tools for project management. As described in the [FPIC](#) and [Conflict Resolution](#) Modules, respecting the human rights of IPLCs means taking steps to avoid adverse human rights impacts, identifying and mitigating impacts, and understanding and strengthening the processes and practices that support IPLCs' human rights.

Principles and Safeguards

The Introduction includes a discussion of all the [Principles and Safeguards](#) that apply to equitable partnerships with IPLCs. Five are particularly important for monitoring, evaluation and adaptation:

Key Principles and Safeguards for Monitoring, Evaluation & Adaptation

Informed Decision-Making:

Continual learning and improvement is the goal. Bad news can become good news if teams take prompt, informed action. Positive results can be better understood and reinforced as the initiative continues.

Meaningful Consultation:

The consultation process should center on the IPLCs' concerns and priorities, which should inform the Monitoring, Evaluation & Adaptation indicators.

Equity & Inclusion:

Given the well-known adage, "what gets measured gets done," it's important to include diverse voices in setting up a system to assess the progress of TNC's human rights-based approach.

Accountability:

Accountability can be assured when parties take responsibility for their actions based on the information produced by a strong Monitoring, Evaluation & Adaptation system.

Overarching Good Faith:

The information generated by a strong Monitoring, Evaluation & Adaptation system is only as good as how it's used. Adaptive management of a human rights-based approach requires a commitment to turning information into action through collaboration and accountability.

Focusing on IPLC Human Rights

This module focuses on the monitoring, evaluation and adaptation of how an initiative impacts IPLC human rights. TNC has also developed resources on conservation and human well-being frameworks, measures and indicators,^[1] which should be applied to track an initiative's goals and outcomes. TNC teams should be aware that there are broader frameworks for understanding how well an initiative serves a community's conservation and human well-being goals, but the focus here is to ensure TNC's efforts to respect and promote the human rights of IPLCs are measured, understood and used as a learning tool for ongoing adaptation. Therefore, it's important to understand the scope of the Monitoring, Evaluation & Adaptation covered in this Guide, as compared to other frameworks.

Appropriate Frameworks to Consult

Impacts of the initiative process:

Use this Guide. This Guide is primarily focused on the who and the how of an initiative — in other words, the process. Thus, the monitoring we are discussing in this module is about making sure the process respects and promotes human rights in line with the Principles and Safeguards of this Guide. For example, is there a high level of meaningful participation by IPLCs and the

social identities that comprise them? Is self-determination increasing as a result of how activities are carried out?

Unintended impacts of the initiative:

Use this Guide and other TNC frameworks. The non-negotiable minimum standard for a human rights-based approach is the duty to do no harm. So while this Guide focuses on how an initiative is carried out, we also want to make sure that the initiative's activities and outcomes are not having a negative impact on human rights, even if intentions are good. Returning to the example of the conservation project funded by a high-volume visitors' center in the Implementation Module, what happens if the number of tourists and impact of tourism infrastructure make it difficult for the IPLC to keep their culture intact? It's important to work with the IPLC to identify these areas of concern early on and develop appropriate indicators and monitoring processes to understand and mitigate them. TNC staff should consult this module along with other broader evaluative frameworks, including TNC's [Voice, Choice and Action Measures Framework](#).

Intended impacts of the initiative:

Refer to other TNC frameworks. When working with the IPLC to establish an initiative's ultimate goals and associated measures, it will be most helpful to refer to other frameworks, such as TNC's [Voice, Choice and Action Measures Framework](#), which has comprehensive guidance on setting up conservation and human well-being and measures, including equity measures.

Guidance

Step One: Develop Indicators

Template: Human Rights Indicators



[View the Human Rights Indicators Template](#)

It's critical for TNC and the IPLC to develop indicators together, paying attention to social identities who may be marginalized. The [Learning & Early Discussions Module](#) contains guidance on culturally responsive approaches to ensuring inclusion. If monitoring is done well, the results may be useful to the IPLC for purposes beyond the initiative.

Indicators and monitoring procedures should be designed, integrated and implemented with other aspects of an initiative, not conceived after the fact. An integrated approach produces better data that are more timely, collected using best practices and meaningful over longer time frames. This approach allows earlier results and insights to be fed back as implementation proceeds.

As a first step to identifying indicators, TNC and the IPLC should return to any [Human Rights Impact Assessment](#) or other areas of concern identified as part of the [FPIC process](#). Consider conducting a new

Human Rights Impact Assessment if one isn't available or is out-of-date. Any priority impacts or key areas of concern should be translated into specific indicators that are monitored over time. This should help TNC and the IPLC answer key questions such as:

Key Questions for Ongoing Monitoring

What are the IPLC's goals, priorities and concerns regarding the initiative?

How might an initiative impact an IPLC's core resources or practices?

What were the most contentious issues to surface during consultation?

What expectations did the IPLC have for the initiative that may have informed decision-making and FPIC?

The answers to these questions will help teams develop their key human rights indicators and better understand priorities and expectations for monitoring. Teams will be able to adjust to unplanned circumstances that may arise and ensure that the IPLC feels that self-determination is being prioritized as implementation progresses.

For example, consider again the conservation project funded by a high-volume visitors' center. Forced cultural assimilation was identified as a potential adverse impact, stemming from a rapid escalation in tourist activity.^[2] Indicators to monitor the **unintended impacts of the initiative** might include:



- number of visitors - data from entrance checkpoints or ticket sales
- incident activity - collected by local law enforcement or municipal authorities
- commercial activity - generated by local government, business associations, or the community
- community interactions with tourists - a quantitative and qualitative survey of community members
- specific identified impacts, such as incidences of noise, litter or impact on wildlife associated with tourists from survey data or reports.

Another source of insight for indicators is emerging conflicts or disputes. Disputes are inevitable, and instead of causing alarm, they should be framed and addressed as opportunities for transparency and relationship-building with the IPLC.

[Through addressing disputes](#), TNC can demonstrate its commitment to the Principles and Safeguards,

particularly Overarching Good Faith and Indigenous Self-Determination. Looking into a dispute, how it arises and how it is dealt with can highlight areas that need attention. Even after a dispute is resolved, it may indicate some areas that should be flagged for more regular monitoring.

Indicators to monitor the **impacts of the initiative process** can be derived from the checklists in each module of the Guide. It is important to include both objective and subjective (perception) indicators – and teams should consider what makes a good indicator, for example, SMART and SPICED^[3]. Objective indicators may make analysis less prone to bias from outlier experiences or expectations. Subjective indicators reflect experiences and behavior, and ensure IPLCs' voices are heard.

As with all types of indicators, less is more. To ensure clarity and feasibility, TNC and the IPLC should collaborate on the development of a few targeted, representative indicators that reflect priority concerns. For a small, on-the-ground project with one IPLC, three human rights indicators may suffice. For larger landscape or policy initiatives that include multiple actors and have full-time monitoring and evaluation specialists, ten or more human rights indicators may be necessary.

Tip: CbD 2.0 Participatory Monitoring

The [CbD 2.0 Guidance document](#) promotes participatory, community-based monitoring and encourages staff to hire contractors to fill any gaps (see pages 96-97). When monitoring a human rights-based approach, contractors should have experience and capacity in IPLC partnerships in the context where the work is carried out.

Resource: Danish Institute for Human Rights Key Indicators

The Danish Institute for Human Rights provides a menu of indicators that can serve as inspiration (particularly Part B, Community Impact, Sections 2 and 3: Land Management, and Environmental Health and Safety, pp. 68-82). See [Human Rights Compliance Assessment Quick Check](#), Danish Institute for Human Rights (2006). However, staff should be aware that many indicators and considerations in this menu have a scope beyond TNC's usual initiatives, many are oriented to private companies, and some fall short of the Principles and Safeguards in this Guide.

Step Two: Collect and Evaluate Feedback

With indicators in place and human rights in focus, TNC and the IPLC should collaborate on monitoring and collecting data for determined time frames using appropriate methods. The people closest to the impacts will be the best judge of whether data is indeed sound, representative, and meaningful. Data can be collected in a number of ways:



Using existing data



Surveying target populations



Interviewing IPLC members

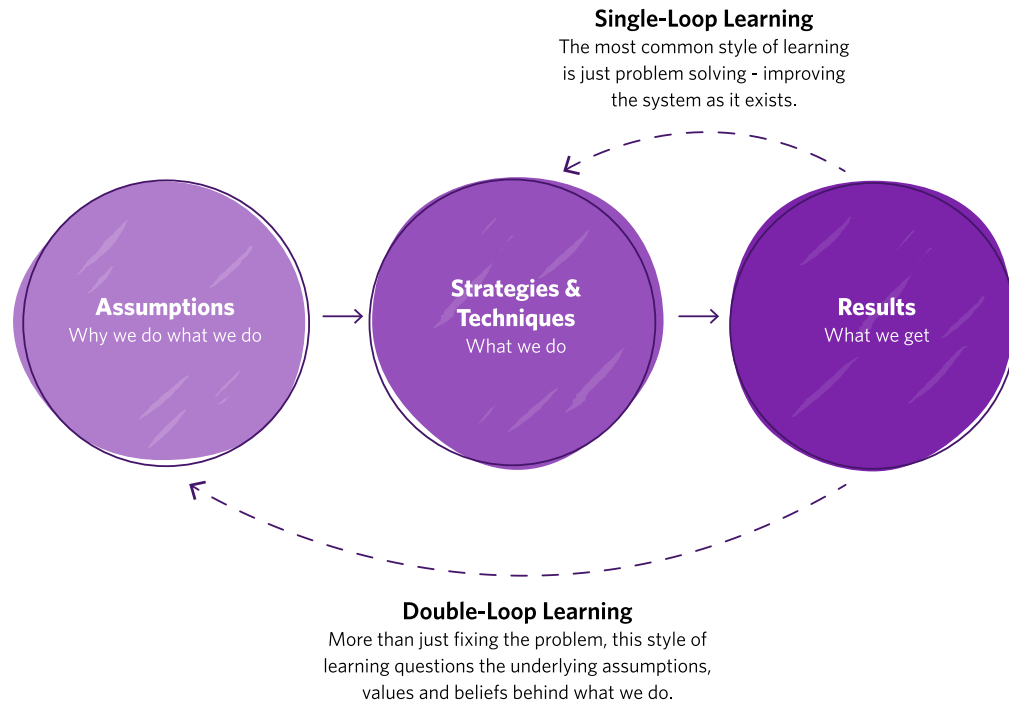
Using existing (secondary) data; surveying target populations during a specific timeframe; and interviewing IPLC members about their experience.

As with all monitoring, evaluation and adaptation, data gathering based on established indicators should begin before activities start in order to establish a baseline for comparison. If an initiative is already underway, teams should begin data collection as soon as possible.

TNC and the IPLC should collaborate on how to analyze data as it is collected, and what resources they need for evaluation. External resources can provide methodologies and approaches for data evaluation that may fit the circumstances of the initiative, the data and the team's available budget. [Better Evaluation](#) describes more than 300 evaluation methodologies, clustered into two dozen approaches in seven different stages. TNC also has considerable internal expertise on data evaluation and staff may contact the [Global Indigenous Peoples and Local Communities Team](#) for support.

It's common for evaluations to happen at two points in the lifecycle of an initiative. The first is during implementation, which is called formative evaluation, and usually comprises mid-term reviews, and the second is at the end of implementation, which is called summative evaluation, and often compares indicators before and after. For large or long-term initiatives, a multi-stage process might make the most sense, with several summative evaluation points at different phases.

The scope of evaluation will depend on time and budget constraints. Elaborate methods are not always better, especially if they alienate an IPLC whose wisdom and insight is essential to understanding the data. An annual pause-and-reflect meeting can be useful. During a pause-and-reflect meeting, the IPLC and TNC review their human rights indicators, the Principles and Safeguards of this Guide and the checklists in each module to ensure compliance. They also re-evaluate the assumptions underlying the theory of change and adjust as needed. This is known as double-loop learning (below). Pause-and-reflect meetings can be done during implementation and again in final evaluation to update the theory of change.



Step Three: Engage in Adaptive Management

With insights being generated from monitored data, the IPLC and TNC can begin the challenging and creative task of adapting the work to address any human rights impacts or problems that are revealed. Even in the absence of problems, the team may improve and better align the initiative with the IPLC's priorities. Monitoring results can show the team where to change, continue or strengthen their practices. Looking at how the IPLC and TNC co-developed the human rights-based approach, resolved disputes, improved governance and extended the initiative's scope can all be beneficial.

TNC should collaborate with the IPLC on adaptive management. The people living with the impacts will have the most relevant experience and the best judgment on whether a proposed adaptation will produce better results.

In addressing IPLC concerns or adverse human rights impacts that come to light, adaptations like additional mitigation safeguards are sufficient if implemented with patience, resources, and good faith. However, there may also be concerns that point to profound dissatisfactions, baseline misunderstandings, structural defects or deeply entrenched opposition that may lead the IPLC and TNC to question the viability or value of an initiative. In these cases, a return to dialogue and consultation may be necessary. TNC and the IPLC may decide that in order to stay aligned with the Principles and Safeguards, the initiative needs to come to a close. Of course, reducing the scope or activities of an initiative must happen in close collaboration with the IPLC to avoid withdrawal that leads to an impression of bad faith.

Mitigation and Adaptation Response



The Human Rights Due Diligence process outlined in the FPIC Module may be useful to think through mitigation and adaptation responses. The [Human Rights Due Diligence](#) process consists of:

1. Assessing potential and actual human rights impacts
2. Mitigating adverse impacts identified in the assessment process
3. Tracking responses and outcomes of the mitigation provisions
4. Communicating to all rights holders and stakeholders how impacts are being addressed

Point 3 of the Human Rights Due Diligence process outlined above creates a backward-looking feedback loop that applies the same monitoring and evaluation systems used to identify the concern or impact in the first place to assess the effectiveness of mitigation provisions. Point 4 creates a forward-looking feedback loop by increasing the audience of rights holders and stakeholders (consistent with confidentiality obligations) who can monitor the ongoing process and contribute ideas.

Returning again to the example of the conservation project funded by a high-volume visitors' center, if the monitoring results show that the limits on visitor numbers are not protecting the cultural and environmental priorities of the IPLC, the team may choose to further lower the number of visitors allowed per day. If semi-structured interviews with the IPLC revealed this inadequacy, another round of interviews would be conducted after some time to assess how the new limits are working, with the results shared openly in the community.

6A. Wenland Case Study Monitoring, Evaluation & Adaptation



The permafrost stabilization initiative has been operational for three years, and the initial data on stabilization is promising. Some complaints about construction impacts (noise) have come through, but there's no evidence of environmental issues.

[View Case Study](#)

Monitoring, Evaluation & Adaptation Checklist

In addition to the highlights below, TNC staff should refer to the checklists at the end of each module, which comprise a comprehensive checklist to inform monitoring, evaluation and adaptation.

Step One: Develop Indicators

- Develop a targeted set of subjective and objective human rights impact indicators reflecting IPLC goals, priorities and concerns, based on a [Human Rights Impact Assessment](#) or areas of concern identified through other assessments or processes.
- Consider existing or established IPLC engagement processes

Step Two: Collect and Evaluate Feedback

- Establish monitoring and data collection systems for specific time frames using appropriate methods, considering existing IPLC engagement processes
- Put methodologies in place, considering both formative and summative evaluations (e.g., midterm and final pause-and-reflect meetings)

Step Three: Engage in Adaptive Management

- Adapt as needed, according to evaluation results

Documentation to Save

See [Documentation Module](#) for additional context and considerations for documentation.

- Human rights monitoring indicators
- Data collection methodologies and results
- Materials describing the evaluation methodologies and notes from the implementation of these methodologies
- Specific provisions for adaptation and plans for how to implement them

Notes

^[1] Contact Nicole DeMello (ndemello@tnc.org) for more information on TNC's Voice, Choice and Action Measures Framework, which provides guidance on conservation and human well-being indicators, including equity-focused indicators. TNC's [Strong Voices, Active Choices Framework](#), or "VCA Framework" outlines TNC's approach to partnering with IPLCs on shared conservation and sustainable development goals.

^[2] See more on this example in the Implementation Module

^[3] "While there are no set rules to selecting indicators, one popular guideline has been to use the acronym 'SMART': indicators should be Specific, Measurable, Attainable and action-oriented, Relevant, and Time-bound. This guideline tends to suit quantitative indicators in particular. Another acronym recently suggested is 'SPICED': Subjective, Participatory, Interpreted, Communicable, Empowering and Disaggregated. SMART describes the properties of the indicators themselves, while SPICED relates more to how indicators should be used." From Better Evaluation — Equal Access Participatory Monitoring and Evaluation Toolkit, Module 2: Setting Objectives and Indicators.

https://www.betterevaluation.org/sites/default/files/EA_PM%26E_toolkit_module_2_objectives%26indicators_for_publication.pdf

<https://connect.tnc.org/sites/lands/indigenous/SitePages/Human%20Well-Being%20Measures.aspx>



6A. Wenland Case Study

Monitoring, Evaluation & Adaptation

The permafrost stabilization initiative has been operational for three years, and the initial data on stabilization is promising. Some complaints about construction noise have come through, but there's no evidence of environmental issues.

The following developments have occurred:

- TNC has heard from people in different Wen Camps that they are disappointed. They don't point to concrete impacts, but they say the number of Albians in the north has increased, and the Wend feels less like home. They tell TNC they would do it differently if they could.
- Women's participation in the Environmental Monitoring Committees has dropped. Pressure from the Councils and other men in the community made the experience of participation unpleasant for women, according to some. TNC has even heard of retaliatory harassment and gender-based violence, but no formal complaints have been made.
- Climate crisis tourism, wherein adventuring tourists seek out hot zones in the planetary fight for survival, has emerged as a trend. Stabilization technology sites are primary destinations, and visitation surges during the Wen summer celebrations. The Wen have long fought to restrict public access to the Wend during their celebrations, but the Albian government has refused to do anything and calls it a separate issue. FrostLock is likewise unwilling to act.

Lets Say

Thoughts and Guidance

1

Given all the investment by FrostLock, Wen elders are wondering if it is appropriate to withdraw their grant of consent for the permafrost stabilization initiative, or whether it is now too late. Is there nothing they can do about their dissatisfaction now?

On the one hand, Respect for Self-Determination does not mean that the Wen cannot be held to their commitments. But it may be unfair to hold the Wen too strictly to consequences they couldn't have predicted, especially when the impact on self-determination is profound.

In response, TNC could decline to support revoking consent but still support the Wen's right to revoke consent and bear the consequences, if they say it's essential to their self-determination. Situations like this reflect a gap in the consultation process and the community education necessary for Informed Decision-Making. Perhaps the question of consent can be set aside in order to solve the underlying problems leading to dissatisfaction. The sentiment of "we would do it differently" might refer to specific aspects of implementation that can be addressed, or changes some community members want but don't feel empowered to ask for. TNC should consider a new round of consultation to identify problems, and work with FrostLock to honor a strong FPIC process, which includes continual iteration, particularly when new information or changes arise.

2

TNC's monitoring protocol notes the growing gender disparity on the Environmental Management Committees but adds that the only tool at TNC's disposal, nominating authority, hasn't succeeded. And while TNC has heard concerning stories about repercussions of the gender-equity focus for Committee membership in the Camps, no data confirms this. Furthermore, intra-community disputes are beyond the scope of TNC's authority to monitor, much less interfere with. Is this an appropriate assessment?

No. More investigation is needed. The allegations reflect human rights impacts of the Environmental Management Committees and thus, the permafrost stabilization initiative. This requires a response just as environmental impacts would.

Wen women have sought outside assistance in the past, and the Wen community as a whole has agreed that gender disparity is an issue, which the all-male Councils even agreed to address during implementation. Still, given that rumors of harassment, discrimination and gender-based violence persist, TNC should make an extra effort to gain information, including through consulting TNC's Guidance for Integrating Gender Equity in Conservation, and should seek out partners with expertise. The critical foundation and duty of all safeguards is to do no harm.

3

If the Albanian government has been lobbied on the hot zone tourism issue and won't budge, is the situation out of TNC's hands?

NC should not wash our hands of responsibility for this situation. The hot zone tourism is a direct consequence of the permafrost stabilization initiative (see UNDRIP, Article 12, which protects the right of privacy to religious and cultural sites).

But this impact was impossible to anticipate. Even though neither FrostLock nor TNC has the power to prohibit tourism, both should use leverage and resources to mitigate the problem. Informational programs could be created to educate tourists about respecting the Wen's privacy, or a hot zone exhibit or museum could be built far away from the celebration sites.

4

The Wen organization designated to take over management of the Conservation Management Area from TNC has stalled. No one has been hired, no plans are in place—and the organization may not be ready by the five-year mark. A TNC staffer suggests that the team not be in any hurry to push the organization along, as it will allow TNC to extend our management of conservation activities, such as the Wendbok reindeer herds. Is this acceptable, since TNC has no concrete obligation to do anything to support the Wen organization's development?

TNC might not be obligated under the Initiative Agreement to help the Wen organization form, but Overarching Good Faith and Respect for Self-Determination may require more from us. Assuming responsibility for the Conservation Management Area may be integral to the Wen's conclusion that the permafrost stabilization initiative was consistent with their self-determination.

For TNC to look the other way, while enforcing the provisions it favors, could lead to Wen mistrust of TNC and disillusionment with the overall initiative. TNC's concern for the Wendbok herds is legitimate, but that can be pursued in more transparent and collaborative ways.

Template:

Human Rights Indicators

This template is a starting point for developing the human rights indicators described in [Step One of the Monitoring, Evaluation and Adaptation Module](#) of the Guide. TNC and the IPLC collaborated on a mutually agreed-upon approach to the human rights impact assessment in [Step Two of the FPIC Modules](#). The indicators focus on monitoring the human rights impacts of the initiative process, for example, the level of meaningful participation, self-determination and other areas embodied in the Principles and Safeguards, as well as any unintended impacts of the initiative.

This template also includes some questions for TNC and the IPLC to consider when developing the indicators. Agreement on the indicators should be documented in a culturally responsive manner, which may include signatures or initials on the plan, an exchange of emails, a show of hands at a meeting, a protocol or ceremony.

For guidance on what makes a strong indicator, refer to TNC's VCA Measures and guidance on developing SMART and SPICED indicators.

(https://www.betterevaluation.org/sites/default/files/EA_PM%26E_toolkit_module_2_objectives%26indicators_for_publication.pdf).

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Initiative: _____

Time period: _____

Date: _____

Updated as of: _____

Approved by:

Organization or group:

Name: _____

Name: _____

Name: _____

Name: _____

Name: _____

Name: _____

1. Human rights impacts or key areas of concern

Revisit the Human Rights Impact Assessment results or other areas of concern identified as part of the FPIC process in Module Two. If TNC and the IPLC developed a Consultation Plan using the template, return to the list of potential and actual human rights impacts in that plan to guide this section.

i. Potential and actual positive impacts:

ii. Potential and actual negative impacts, including severity, probability and underlying causes of the risk:

iii. Proposed mitigation for potential and actual negative impacts:

iv. Plan for tracking responses and outcomes and for communicating how impacts are being addressed:

2. Additional information, if not included in the impacts listed above:

a. The IPLC's goals, priorities and concerns regarding the initiative:

b. Ways the initiative may impact an IPLC's core resources or practices:

c. Most contentious issues in consultation:

d. Expectations the IPLC has for the initiative that have informed decision-making & FPIC:

3. Highlights from the checklists in each module

Revisit the checklists at the end of each module in the Guide, noting key responses to the checklist prompts.

a. Module One - Learning & Early Discussions:

b. Module Two - Free, Prior & Informed Consent:

c. Module Three - Conflict Resolution:

d. Module Four - Implementation:

e. Module Five - Documentation:

f. Module Six - Monitoring, Evaluation & Adaptation:

4. Indicators to monitor unintended impacts of the initiative, based on review of #1 & #2 above

a. Indicator 1:

b. Indicator 2:

c. Indicator3:

5. Indicators to monitor the impacts of the initiative process, based on review of #3 above

a. Indicator 1:

b. Indicator 2:

c. Indicator 3:

d. Indicator 4:

e. Indicator 5:

Questions to Consider for Developing Indicators:

- Does TNC and the IPLC have a plan in place for collaboratively collecting and evaluating feedback?
- Does TNC and the IPLC have a process for deciding which activities to change, which to continue and which to strengthen, based on the feedback received?
- How does TNC and the IPLC plan to share the results of the monitoring, evaluation and adaptation process with rights holders and stakeholders, consistent with confidentiality obligations?

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