

# Monitoring and evaluation of the process to formulate and implement NAPs at the national level (PEG M&E Tool)

**LEG regional training workshop on national adaptation plans (NAPs) for Anglophone North and West African countries**

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## Monitoring and evaluation systems

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- There are many types of M&E systems for specific end uses (no universal M&E at the national level to address all needs)
- At least 3 types can be applied for adaptation:
  1. M&E of the national process to formulate and implement NAPs
  2. M&E of adaptation
  3. M&E of projects and programmes related to reporting requirements of support provided



## M&E of the national process to formulate and implement NAPs

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- To track and manage the process in the context of “**progress, effectiveness** and **gaps**” according to the NAP guidelines from the COP
- Used to ensure the process is on track and to collect information that can be used in reporting on progress on the process to formulate and implement NAPs to the COP
- *The LEG is working on this through the PEG M&E Tool*



## M&E of adaptation

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- Used to assess whether adaptation results are being achieved
- Under the NAP process, can address directly the objectives: reducing vulnerability and building resilience, and the integration of adaptation in national development processes
- *The Adaptation Committee is leading this work*



## M&E of projects and programmes related to reporting requirements of support provided

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- Part of project execution and can be done at the level of the project, or as part of the broader programme that is providing the support (e.g. under the GCF, LDCF, a bilateral programme, etc).
- The scale will vary depending on the activity/project – global, regional, national, sectoral, local, etc
- *An example is the GEF M&E tracking tool for GEF projects and programmes*



## Interlinkages between the 3 examples of M&E

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- The 3 examples are not mutually exclusive
- A country will likely apply and use several systems to address different needs for assessing progress
- Important to use M&E systems as tools to an end: address a need in a flexible way, rather than fitting the tool to the needs



## Overview of the PEG M&E tool

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- Designed to monitor overall progress of the NAP process, targeting explicitly the process, not adaptation outcomes
- Responds to the initial guidelines for the NAP process on reporting on **Progress**, **Effectiveness** and **Gaps** under the NAP process (hence **PEG**)
- Builds on the **10 essential functions** of the NAP process as defined by the LEG to form the basis for the M&E of the process
- Suggests expected outcomes and metrics in the form of indicative questions/checklists for each essential function that will support countries to monitor and evaluate that function



## 5 main types of metrics

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<b>Metric</b>	<b>Context under the PEG M&amp;E tool (example)</b>
Process	Does a coordinator/leader and a coordinating body with sufficient authority and resources exist? Is there a multi-year work plan for the NAP process?
Input	Institutional, human, financial and technical capacity
Output	Reports and documents; databases; communication system
Outcome	Essential functions of the NAP process achieved
Impact	Awareness and understanding of climate risks and vulnerabilities have increased; adaptation well integrated into development planning/implementation; support and resources are allocated strategically and timely towards vulnerability reduction



## Example using the Essential Function 1

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**Essential Function 1:** Helping governments to provide national leadership and coordination of adaptation efforts at all levels and to act as the main interface with regional and international mechanisms

- **Expected outcome 1:** The NAP process creates and maintains governance structures that lead work on adaptation at the national level through appropriate mandates and institutional arrangements
- **Expected outcome 2:** The NAP process facilitates the coordination of adaptation across scales, actors and levels within the country to ensure coherence and effectiveness of adaptation
- **Expected outcome 3:** The NAP process is used to mobilize and manage technical and financial support for nation adaptation efforts from local, regional and international mechanisms



## Sample metrics for Essential Function 1

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***Expected outcome 1: The NAP process creates and maintains governance structures that lead work on adaptation at the national level through appropriate mandates and institutional arrangements***

- Is there a national mandate to define the NAP process and its work? (the nature and form of such a mandate would vary)
- Does the mandate clearly define institutional arrangements (including a coordinator/leader and a coordination body for the NAP process) to lead and oversee the work on adaptation?
- Does the coordination body for the NAP Process have sufficient authority to coordinate engagement of all line ministries and other relevant actors in addressing adaptation?
- Does the coordination body have its own human, financial and technical resources under its direct control?



## Sample metrics for Essential Function 1 (cont.)

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***Expected outcome 1: The NAP process creates and maintains governance structures that lead work on adaptation at the national level through appropriate mandates and institutional arrangements***

- Does the coordination body have a multi-year work plan including targets, planned activities, reporting, timelines and distribution of tasks to cover a full cycle of the NAP process?
- Does the mandate define outputs that will be produced and used to execute the NAP process? (such as a strategy or road-map, long-term vision for adaptation)
- Does the mandate adequately address both objectives of the NAP process?



## Sample metrics for Essential Function 1

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***Expected outcome 2: The NAP process facilitates the coordination of adaptation across scales, actors and levels within the country to ensure coherence and effectiveness of adaptation***

- Does the coordination body have an explicit plan to involve all relevant stakeholders (e.g. policy makers, scientific and technical experts, sectoral planners, civil society, private sector, general public, international and regional partners)?
- Is the work of the coordinating body well documented and communicated to all stakeholders?



## Sample metrics for Essential Function 1

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***Expected outcome 3: The NAP process is used to interface with regional and international mechanisms and activities on adaptation***

- Does the coordination body act as the main contact for seeking and accessing technical and financial support?
- Does the coordination body regularly assess capacity gaps and needs and seek to address these?
- Does the coordination body have set procedures to receive and transfer information from and to regional and international mechanisms?
- Does the coordination body have the mandate to ensure coherence and build synergy with related ongoing activities and processes at the regional and international level thus avoiding contradicting efforts?



## Application of the PEG M&E Tool

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- Use the metrics to define success criteria for the process, and apply as a checklist and graduated questions (use a rating scale of say 1 to 5 to rank degree of success)
- Use the tool to manage the process and ensure goals are being met
- Results of the monitoring and review process may be used in reporting on progress, effectiveness and gaps to the SBI as per the NAP guidelines
- Results of the monitoring would be used in assessment and review when **updating** the NAPs



# United Nations Framework Convention on Climate Change

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