

7th meeting of the Adaptation Committee

Agenda item 8

Monitoring and evaluation of adaptation

Update on progress: A tool for monitoring and reviewing progress, effectiveness and gaps in the formulation and implementation of NAPs (PEG M&E tool)

Bonn, Germany 24 - 27 February 2015



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Monitoring and evaluation systems

- ❖ 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 NAP process
 - 2. M&E of adaptation
 - 3. M&E of projects and programmes related to reporting requirements of support provided



Interlinkages between the 3 examples of M&E

- ❖ 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

- ❖ 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 (= services that the NAP process is meant to deliver to countries) 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.

** The essential functions are provided in presentation as annex*



Overview of the PEG M&E tool

PEG M&E tool

- ✓ To be used to track and manage the NAP process in the context of “progress, effectiveness and gaps” according to the NAP guidelines from the COP
- ✓ Use to ensure the NAP process is on track and to collect information that can be used in reporting on progress on the NAP process to the COP

vs.

M&E of adaptation

- ✓ 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



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vs.

M&E of projects/programmes

- ✓ 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.



Why the essential functions

❖ What are the essential functions?

- Essential characteristics of an effective NAP process, that it is useful at the national level, and leads to desired outcomes;
- Expected impact of carrying out a NAP process in the long-term;
- List of the essential functions at the end of the presentation

❖ Their basis for the PEG M&E tool

- Under each essential function, expected results/outcomes can be framed, that would lead to achieving the long-term impact



5 main types of metrics

| Metric | Context under the PEG M&E tool (example) |
|---------------|--|
| 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

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

❖ ***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 *(continued)*

❖ ***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 (*continued*)

- ❖ ***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 *(continued)*

- ❖ ***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?



Application of the PEG M&E Tool

- ❖ Use the metrics to define success criteria for the NAP 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 of the NAP process 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;
- ❖ LEG 27 to finalize draft technical paper describing the tool for review, including sharing with the Adaptation Committee, taking into account feedback from the 2 NAP workshops so far.



Application of the PEG M&E Tool

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Essential functions of the NAP process (LEG, 2015)

- ❖ 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
- ❖ 2. The collection, compilation, processing and dissemination of data, information and knowledge on climate change and relevant development aspects in support of adaptation planning and implementation
- ❖ 3. Identifying and addressing gaps and needs related to capacity for the successful design and implementation of adaptation
- ❖ 4. Assessing climate-development linkages and needs, and supporting the integration of climate change adaptation into national and subnational development and sectoral planning (through policies, projects and programmes)
- ❖ 5. Analysing climate data and assessing vulnerabilities to climate change and identifying adaptation options at the sector, subnational, national and other appropriate levels



Essential functions of the NAP process (LEG, 2015) *(continued)*

- ❖ 6. **Appraising adaptation options** to support decision-making on adaptation investment plans and development planning
- ❖ 7. Promoting and facilitating the **prioritization** of climate change adaptation in national planning
- ❖ 8. Facilitating the **implementation** of adaptation at all levels through appropriate policies, projects and programmes, taking into account opportunities for **synergy**
- ❖ 9. Facilitating the **monitoring, review** and **updating** of adaptation plans over time, to ensure progress and effectiveness of adaptation efforts and to demonstrate how gaps are being addressed
- ❖ 10. Coordinating **reporting** and **outreach** on the NAP process to stakeholders nationally, internationally and formally on progress to the Convention

