

Module 5: Assessment of the NAPA

5.1. Progress on implementation, quality of the NAPA, and revision and update

LEG training workshops for 2012-2013
- Francophone LDCs workshop



In this module

Where are we?

Module 1: Setting the stage

Module 2: Implementation strategies for the NAPA

Module 3: Accessing financial resources for implementation of NAPA

Module 4: Best practices and lessons learned

Module 5: Tracking progress, monitoring and evaluation

5.1. Assessment of the NAPA

5.2. Tracking progress in addressing adaptation

5.2. Monitoring and evaluation

Module 6: Mainstreaming adaptation into development

Module 7: The NAP process

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CASE STUDIES + REGIONAL INPUTS

Learning points:

Assessment of the NAPA

Guiding questions:

- How to assess progress made in the NAPA?
- How to assess the quality of the NAPA?
- How to determine the need to revise or update the NAPA?



Assessing the status of implementation of the NAPA

NAPA priorities being implemented (status, approaches, funding)

Existing plans for further/full implementation

Priorities that have not been implemented at all

Subsequent local and national plans that have integrated NAPA

Barriers to implementation that were identified in the NAPA, and the ones emerging during implementation process: have they been addressed, and how

Impact of adaptation measures resulting from the implementation of NAPA projects

Capturing experiences, best practices and lessons learned and strategies for integrating them into future implementation

Results from the assessment of the quality of the NAPA may also provide good information on the need to update and revise the NAPA



Assessing the quality of the NAPA

Risks and vulnerabilities:	<ul style="list-style-type: none">• How best the NAPA covers climate change threats for the country, regions, sectors and themes• Diversity and depth of vulnerability, impacts, and adaptation assessments
Adaptation options/priorities:	<ul style="list-style-type: none">• Robustness of methodologies and procedures for ranking, prioritization and costing of priorities• The costs of NAPA priorities, and information provided
Implementation strategy:	<ul style="list-style-type: none">• Presentation of a clear and elaborate implementation strategy
NAPA in the development context:	<ul style="list-style-type: none">• Relevance/synergy of NAPA to/with national development plans• Utility of NAPA in subsequent national development plans and processes
Stakeholder engagement / inclusiveness	<ul style="list-style-type: none">• Key sectors• Vulnerable groups• Etc



Assessing the need for the revision and update of the NAPA

Steps for the revision and update of NAPA¹

1. Establishing the rationale

- Assess the need for the revision and update;
- Identify benchmarks and entry point

2. Performing the revision and update

- Reconvene multi-stakeholder steering group to lead the process;
- Revise risks, vulnerabilities, adaptation options, priorities, costs, etc...

3. National endorsement & submission

- Endorsement by the Government, or national committee;
- Submission of revision to UNFCCC Secretariat

4. Post processing of the revision

- Update of the priorities on databases;
- Sharing of the NAPA to interested partners as appropriate (e.g. the GEF).

¹ LEG technical paper 2009, available at <http://unfccc.int/resource/docs/publications/ldc_tp2009.pdf>. or Step-by-Step Guide, available at <http://unfccc.int/essential_background/library/items/3599.php?such=j&symbol=FCCC/GEN/250%20E#beg>.



Assessing the need for the revision and update of the NAPA

Establishing the rationale for revision and update of NAPA - *the need for the update and revision could arise from:*

- Emergence of **new risks** and **vulnerabilities**, that have become evident since development of NAPA;
- Emergence of **new information**, **scientific data** or **knowledge** that changes the order of priorities;
- Some of the stated **priorities would have been implemented** through bilateral or other sources of funding;
- Including **changes in costs** of projects, or additional information;
- The need to address **new information requirements** to satisfy new project development guidelines and requirements;
- Incorporating **lessons learned** from the implementation of the NAPA



Assessing the need for the revision and update of the NAPA

Additional aspects:

- a) Revisions limited to project costs can be undertaken during project development
- b) More comprehensive revisions to the NAPA can help accommodate:
 - Programmatic approaches to implementation
 - Strengthening gender considerations and considerations regarding vulnerable communities
- c) There may be a costs in revising the NAPA:
 - Costs for revising the NAPA could be integrated in a current project development phase (vulnerability studies) or project implementation (institutional reforms)
- d) Opportunity to Integrate medium and long-term adaptation, and link to the NAP process;



Experiences from other LDCs on the revision and update of the NAPA

Bhutan:

During the vulnerability assessment in preparation of Bhutan's Second National Communication, new climate hazards previously not considered a threat were found to be reported in increasing numbers through official disaster reports and media stories. Based on this new information, Bhutan felt a revision of its NAPA was warranted and initiated the process for the review and revision of the NAPA.



Module 5: Tracking progress, monitoring and evaluation

5.2. Tracking progress in addressing adaptation

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5.2. **Tracking progress in addressing adaptation**

5.3. Monitoring and evaluation

Module 6: Mainstreaming adaptation into development

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to the GEF and LDCF;
- Understand the roles of the GEF and its agencies in supporting the preparation and implementation of NAPAs.

Guiding questions:

- How to access resources from the LDCF for implementing NAPA?
- What are the criteria to select an implementing agency?



Why is a tracking of progress important?

a) For LDCs, impacts of climate change will be felt most in the crucial parts of the society:

✗ Agriculture and food security	✗ Sustainable development
✗ Water resources	✗ Ecosystem goods and services
✗ Physical safety	✗ Energy sources and supplies
✗ Health	✗ Cultural values and cultural systems
✗ Livelihoods	✗ Infrastructure and land use planning

b) NAPAs and other adaptation activities seek to:

- Reduce the vulnerability of LDCs to climate change in these areas;
- Improve adaptive capacity and resilience in LDCs;

c) It is therefore important ensure that we track whether:

- To see whether the process has been followed correctly
- If the adaptation options have the desired effect;
- The activities benefit the target groups (most vulnerable, and critical areas);
- The findings, experiences, and recommendations thereof help to inform concerted national action on addressing adaptation



What would it take?

a) Inventory of existing monitoring systems

- Existing structures, findings, etc...;

b) Parameters to consider in measuring the status of addressing adaptation:^{1,2}

- Past, present and planned adaptation activities;
- Level of integration of adaptation in planning across all sectors;
- Adaptive capacity;
- Awareness and knowledge on adaptation;
- Effectiveness of actions;
- Climate data and climate change projections;
- Disaggregated data on vulnerabilities and impacts (e.g. gender);

c) Institutional setup or mechanisms:²

- Collection, analysis, and provision of knowledge in support of adaptation activities;
- Research, analysis and interpretation of climate data and information.
- Sustainable climate data and information gathering and monitoring;
- Storage and archiving of data and information.



Beneficiaries of information collected

National development processes:

- Government ministries/departments;
- Local and regional governments;
- Private sector
- Non-governmental organizations; faith-based organisations

Academic and research groups (universities, regional centres, networks):

- To inform the national education system, including informal education;
- Information on areas to be addressed by research (e.g. nationally specific approaches and methods);
- Validating, reviewing and publishing national results and reports;
- Best practices and lessons learned;

Special groups:

- Gender advocacy groups;
- Vulnerable communities/groups, e.g. indigenous peoples groups, mountain communities, coastal communities, etc;



Beneficiaries of information collected

UNFCCC / UN Agencies / GEF / Donors:

- Progress on the implementation of the NAPA;
- Experiences in applying provisions set under the Convention;
- Functioning of the financial mechanism, and donor funding;

Other important stakeholders:

- Financial mechanism – GEF;
- Bilateral agencies;
- Interested international organizations;

Monitoring and evaluation processes:

- National and sub-national levels;
- GEF-LDCF level;
- Bilateral;
- Etc.



References

1. UK-DEFRA. 2010. *Measuring adaptation to climate change - a proposed approach*. <http://archive.defra.gov.uk/environment/climate/documents/100219-measuring-adapt.pdf>;
2. Dixit, Aarjan, Heather McGray, Javier Gonzales, and Margaret Desmond. 2012. “*Ready or Not: Assessing Institutional Aspects of National Capacity for Climate Change Adaptation*.” WRI Report. World Resources Institute, Washington DC. Available online at <http://www.wri.org/publication/ready-or-not>.



Module 6: Tracking progress, monitoring and evaluation

5.3. Monitoring and evaluation

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Importance of monitoring and evaluation;
- Key steps in undertaking M&E;
- Resources and capacity necessary for monitoring and evaluation;
- Practical example and exercise.

Guiding questions:

- What is the capacity needed at the national level to carry out M&E?
- How can this be assessed and strengthened (e.g. forming effective partnerships for data collection)?
- What experiences exist with M&E of adaptation?



Important terms

- Goal
- Baselines
- Results
- Outputs
- **Output:** the products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention that are relevant to the achievement of outcomes. i.e. output = “what we do”
- **Outcome:** the likely or achieved short-term and medium-term effects of an intervention’s outputs, i.e. outcome = “what difference does it make”
- **Impact:** positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
- Indicators
- Reporting
- Feedback
- Lessons
- **Results chain: inputs -> outputs -> outcomes -> impact**



Purpose/importance of M&E

1. The purpose of M&E is the measurement and assessment of performance in order to more effectively manage outcomes and outputs known as development results ([UNDP, 2002](#));
2. M&E is an important tool to help identify good practices and single out less effective approaches, contributing to evidence based decision making. It can also be an effective tool for prioritisation of inputs and communication of outcomes ([OECD, 2012](#));
3. To monitor and evaluate the relevance of international assistance and initiatives to national development goals within a given national, regional or global context;
4. To monitor and evaluate the effectiveness, efficiency, partnerships and coordination, cost effectiveness, risk factors and risk management, level of national ownership, measures to enhance national capacity for sustainability of results, etc...



Challenges for adaptation M&E

- Absence of a universal indicator for performance measurement;
- Adaptation to climate change takes place within specific and diverse socio-cultural, socio-political and local or regional settings;
- Uncertainty about climate change projections;
- Extended timeframes;
- Many drivers;
- Difficult to define 'business as usual'.



Key messages from the workshop on tracking successful adaptation – smart monitoring for good results



Many different audiences and purposes for adaptation M&E. M&E should be considered also to be a communications and learning tool that can help to inform the design of frameworks and choice of methods.

Evaluating adaptation impacts requires longer time horizons than the typical development project duration. Need to think beyond projects to conduct adaptation impact evaluation.

Capacity building for adaptation M&E is needed at many scales, including among agency staff, national policy makers, and local implementers.

Could be useful to develop a repository of adaptation indicators that are already being used. However, indicators alone are not sufficient to address the question of how to monitor and evaluate adaptation.

Website: www.bonn-perspectives.de/en/dialogue-events/tracking_adaptation.html



What do we monitor in adaptation

Climate impacts

Vulnerability

Implementation of adaptation strategy

Resource spending for adaptation

Impact of adaptation measures

Etc.



Different levels of monitoring and evaluation

1. International level (e.g. Convention, GEF, UN agencies)

- Contribution towards global goals and targets;
- Relevance in international support mechanism to national development goals and priorities in context;

2. National level

- Achievement of nationwide goals and targets;

3. Programme/project level

- Achievement of programme/project objectives.



Step 1:
Assessing the context for adaptation



Step 2:
Identifying the contribution to adaptation



Step 3:
Devising the strategic orientation



Step 4:
Defining indicators and setting a baseline



Step 5:
Operationalising the results-based monitoring system



Key processes in monitoring and evaluation

- 1 Stakeholder engagement
 - 2 Translating project goals and objectives into an M&E framework
 - 3 Setting results: inputs, baseline, outputs, outcomes, impacts
 - 4 Selecting indicators, identifying data sources and collection methods
 - 5 Setting realistic targets for results
 - 6 Implementing the M&E plan
 - 7 Analysing and evaluating results
 - 8 Disseminating and utilizing findings
 - 9 Sustaining and replicating the M&E system
-



Identifying the contribution to adaptation

- **Building adaptive capacity**

Strengthening the capacity to undertake vulnerability and risk assessments, to use climate projections, to prepare climate information and communicate it, to mainstream climate change in planning frameworks

Sample indicators: existence and quality of coordination/mainstreaming processes, availability of climate information and analytical capabilities, risk management capacity in dealing with increasing climatic variability, operational early warning systems for risks

- **Reducing vulnerability and risk**

Measures aimed at reducing specific vulnerabilities and risk such as enhancing water storage capacity, coastal zone management, crop diversification

Sample indicators: volume of water available, extent of diversification of income in regions affected by extreme weather events



Identifying the contribution to adaptation

- **Securing development goals in the face of climate change**

Development goals as the focus

Sample indicators: stable income in particularly vulnerable sections of the population, reduced dependence on highly climate-sensitive sectors, availability of climate-resilient infrastructure, expansion of, and participation in, educational provision.

Don't forget the people!



Need for sex, age disaggregated data

Monitoring and evaluation frameworks

1. Conceptual frameworks

- Theory of change; feed this into baseline data collection and track assumptions;
- Most significant change technique - Davies & Darts (2002, 2005).

2. Results, indicator and logical frameworks

- Results frameworks (e.g. GEF LDCF RBM);
- Indicator frameworks (e.g. ClimateXChange Adaptation Indicator Framework);
- Logframe approach (LFA) (e.g. also integrated into the GEF RBM);
- Logic models.



Capacity/resource needs for M&E

1. **Institutional set-up** for M&E (e.g. M&E Unit);
 - Consensus building among all stakeholders
 - Coordination of the M&E work
 - Data management
 - Reporting, information dissemination and review
2. **Individuals** who are motivated, committed, competent and interested in M&E
3. **Financial resources** (e.g. 10% of projects costs) to cover:
 - Data collection and information dissemination systems
 - Coordination of the M&E work
 - Systems or special studies to be conducted by outside agencies
4. **Guides, manuals, communication tools**, and any other support facilities



Additional remarks

- Make use of existing indicators
 - Key sector development indicators (e.g. water availability, agricultural production, environmental quality)
 - National development indicators
- Make use of existing M&E systems and institutions
 - National performance management frameworks
 - M&E systems of sectoral strategies
 - Regional environmental observatories
 - Statistics offices

→ Example...



Climat Plus

Echange régional –
Maghreb

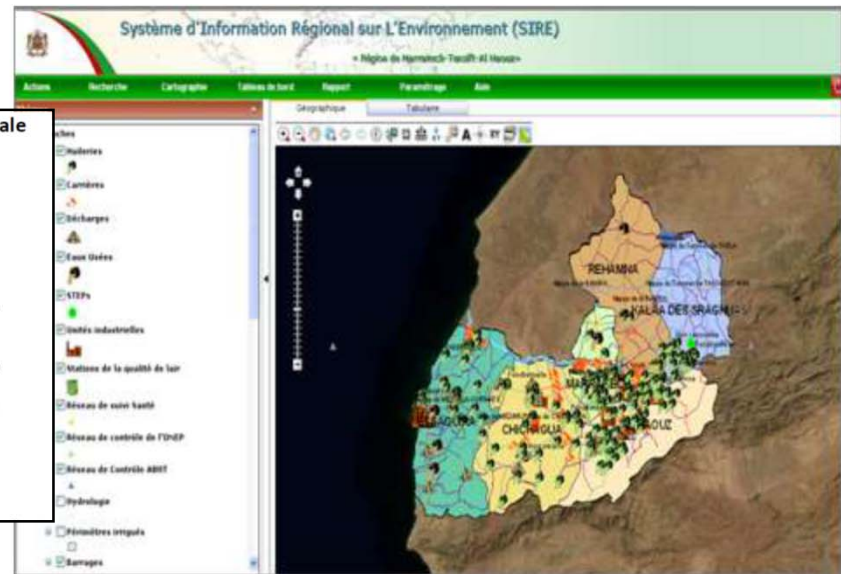
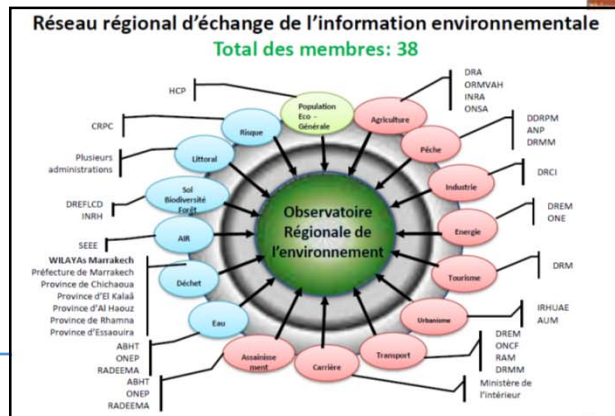
Réseau d'échange dans
le cadre du MENREM



giz

Example: M&E of adaptation in Morocco (Région Souss Massa Drâa)

- **Partners:** GIZ & Observatoires Régionaux de l'Environnement et du Développement Durable (OREDDs)
- **Objectif:** La région du SMD dispose d'une méthode et d'un dispositif institutionnel pour suivre la vulnérabilité climatique et les résultats de l'adaptation dans le secteur de l'eau en tenant compte de l'aspect genre.
- **Current state:** Participatory assessment of indicators for impacts, vulnerability and adaptive capacity, using the DPSIR framework and chaînes de causalité (Workshop, Oct. 2012)
- **Future:** Integration of the indicators in the système d'information régional sur l'environnement (SIRE)



Morocco (SMD): CCA Indicators

Objet : le suivi de la vulnérabilité.			
Domaines indicateurs : indicateurs biophysiques et socio économiques			
		OREDD SMD	OREDD MTH
SECTEURS PRIORITAIRES		Eau Agriculture Forêt/biodiversité Littoral	Eau Agriculture Forêt
Secteur retenu		Agriculture	Eau
DPSI	Forces motrices	Stimuli climatiques : <ul style="list-style-type: none"> ○ Température moyenne annuelle (°C) ○ Moyenne de précipitation (mm/an) ○ Vitesse moyenne des vents 	
		Température augmente et pluviométrie diminue	Abondance d'événements extrêmes
	Pressions	-Volume d'eau utilisé pour l'irrigation (m3) -Niveau des nappes phréatiques(m)	Fréquence ou nbr des inondations
	Etat	-Superficie agricole utile (ha) -Superficie irriguée (ha)	Taux de remplissage des barrages (%)
	Impact	-Rendement agricole (%) -Satisfaction en eau des cultures (%)	Taux d'envasement des barrages
R	Réponse=mesure d'adaptation	% des terrains en irrigation localisée	Taux de collecte d'eau pluviale Nbr d'ouvrages de collecte construits



Exercise 1: The corner game

- The challenges in successfully implementing adaptation can be divided into the categories: (i) political/institutional, (ii) economic/financial, (iii) social and (iv) technical.

Instructions

- Each corner of the room represents one of the four categories. Select a corner which represents the challenge you find most relevant. In a moderated group discussion you might defend your arguments. You can summarize your findings in the Matrix below.

Political/ institutional	Economic/ financial	Social	Technical



Exercise 2: M&E challenges and ways to cope with them

Instructions for case work

- You are member of the M&E expert group supporting the Government of the fictitious country called “Zanadu”.
- The National Climate Change Adaptation Plan formulated in respect to the Strategic Priority food security the following **goal**:
- Ensured food availability, stability, access and safety amidst increasing climate change and disaster risk.
- This goal is especially relevant for the highly populated flood plain of Alph River, which is the ‘bread basket’ of Zanadu.
- The following climate related developments might **endanger food security**:
- Every 10 to 15 years, Alph River plain has experienced a devastating flood which destroyed larger agricultural areas. There are indications that flood frequency is increasing towards about every 8 to 10 years.
- Use Matrix 2 to think about challenges and way to cope with them on the way of developing the M&E system. The categories of challenges are mentioned – you are invited to find examples from the case for each category. An example is given for the first category.



Exercise 3: Opportunities and barriers to monitoring and evaluation

Select a level most interesting to you: project/programme level or national level, and briefly outline a concrete example (your NAP/NAPA, an LDCF project etc.), and work on the following questions:

- Identify opportunities and barriers for monitoring and evaluation, with a view toward problem-solving and maximizing opportunities;
- Identify potential solutions that can be designed into the workplan or an implementation strategy of a NAP or NAPA to allow for making adjustments to account for some of the issues that may arise during the M&E process;
- Incorporate these into the programme design and strategic processes.

