

## Module 6: Tracking progress, monitoring and evaluation

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

**LEG training workshops for 2012-2013**

Asian LDCs workshop

20 – 24 August 2013, Siem Reap, Cambodia



## A. In this module

Where are we?

**Module 1:** Setting the stage

**Module 2:** Implementation strategies under the NAPAs

**Module 3:** Accessing financial resources

**Module 4:** The NAP process

**Module 5:** Addressing adaptation in the context of sustainable development

**Module 6:** Tracking progress, monitoring and evaluation

**6.1. Assessment of the NAPA**

6.2. Tracking progress in addressing adaptation

6.3. Monitoring and evaluation

**Module 7:** Best practices and lessons learned

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**CASE STUDIES**

**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?



## B. Assessing the status of implementation of the NAPA

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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 the NAPA

Barriers to implementation of NAPA: have they been addressed, and how

Impact of adaptation measures resulting from the implementation of NAPA projects

Capturing and utilizing experiences, best practices and lessons learned

Results from the assessment of the NAPA may provide information on need to update NAPA



## C. Assessing the quality of the NAPA

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



## D. Assessing the need for the revision and update of the NAPA

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### Steps for the revision and update of the NAPA<sup>1</sup>

#### 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).

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<sup>1</sup> LEG technical paper 2009, available at <[http://unfccc.int/resource/docs/publications/ldc\\_tp2009.pdf](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](http://unfccc.int/essential_background/library/items/3599.php?such=j&symbol=FCCC/GEN/250%20E#beg)>.

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## E. Assessing the need for the revision and update of the NAPA

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### **Rationale: *the need for the revision and update could arise from:***

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- Emergence of new risks and vulnerabilities;
- Emergence of new information, scientific data or knowledge;
- Some of the stated priorities would have been implemented;
- The need to include 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.



## F. Assessing the need for the revision and update of the NAPA

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### 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



## G. Experiences from other LDCs on the revision and update of the NAPA

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### Senegal

In developing its first LDCF project on water, Senegal revised its NAPA to account for an increased budget of the project (\$5m) from that which was indicated in the NAPA document (\$0.5m). This revision was done through the submission of a formal communication to the Secretariat, as an addendum to the NAPA document.

### Bhutan:

During the vulnerability assessment in the preparation of Bhutan's Second National Communication, new climate hazards previously not considered as 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 6: Tracking progress, monitoring and evaluation

# 6.2. Tracking progress in addressing adaptation

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**CASE STUDIES**

Learning points:

- Importance of tracking progress in addressing adaptation
- Systems needed for tracking progress

Guiding questions:

- How to effectively integrate data and information collection across different sectors to inform tracking of progress in addressing adaptation



## B. Why is tracking of progress important?

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a) Impacts will be felt most in crucial parts of societies and economies in LDCs

✘ 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 to ensure that we track:

- Whether the process has been followed correctly;
  - If the adaptation options have the desired effect;
  - If the activities benefit the target groups (most vulnerable, and critical areas);
  - If the findings, experiences, and recommendations thereof help to inform concerted national action on addressing adaptation.
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## C. What would it take?

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### Inventory of existing monitoring systems

- Existing structures, findings, etc...;

### Parameters to consider in measuring the status of addressing adaptation:<sup>1,2</sup>

- 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);

### Institutional setup or mechanisms:<sup>2</sup>

- 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.
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## D. Beneficiaries of information collected

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### **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



## E. Beneficiaries of information collected

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### **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.



## F. References

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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>.



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### 6.3. Monitoring and evaluation

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=====

**CASE STUDIES**

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 in terms of M&E of adaptation?



## B. Important terms

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Goals	Impacts
Baselines	Indicators
Results	Reporting
Outputs	Feedback
Outcomes	Lessons

**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.

Results chain: inputs -> outputs -> outcomes -> impact



## C. Purpose/importance of M&E

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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...



## D. Challenges for adaptation M&E

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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'



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

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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.

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

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

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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](http://www.bonn-perspectives.de/en/dialogue-events/tracking_adaptation.html).



## F. What do we monitor in adaptation

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Climate  
impacts

Vulnerability

Implementation  
of adaptation  
strategy

Resource  
spending for  
adaptation

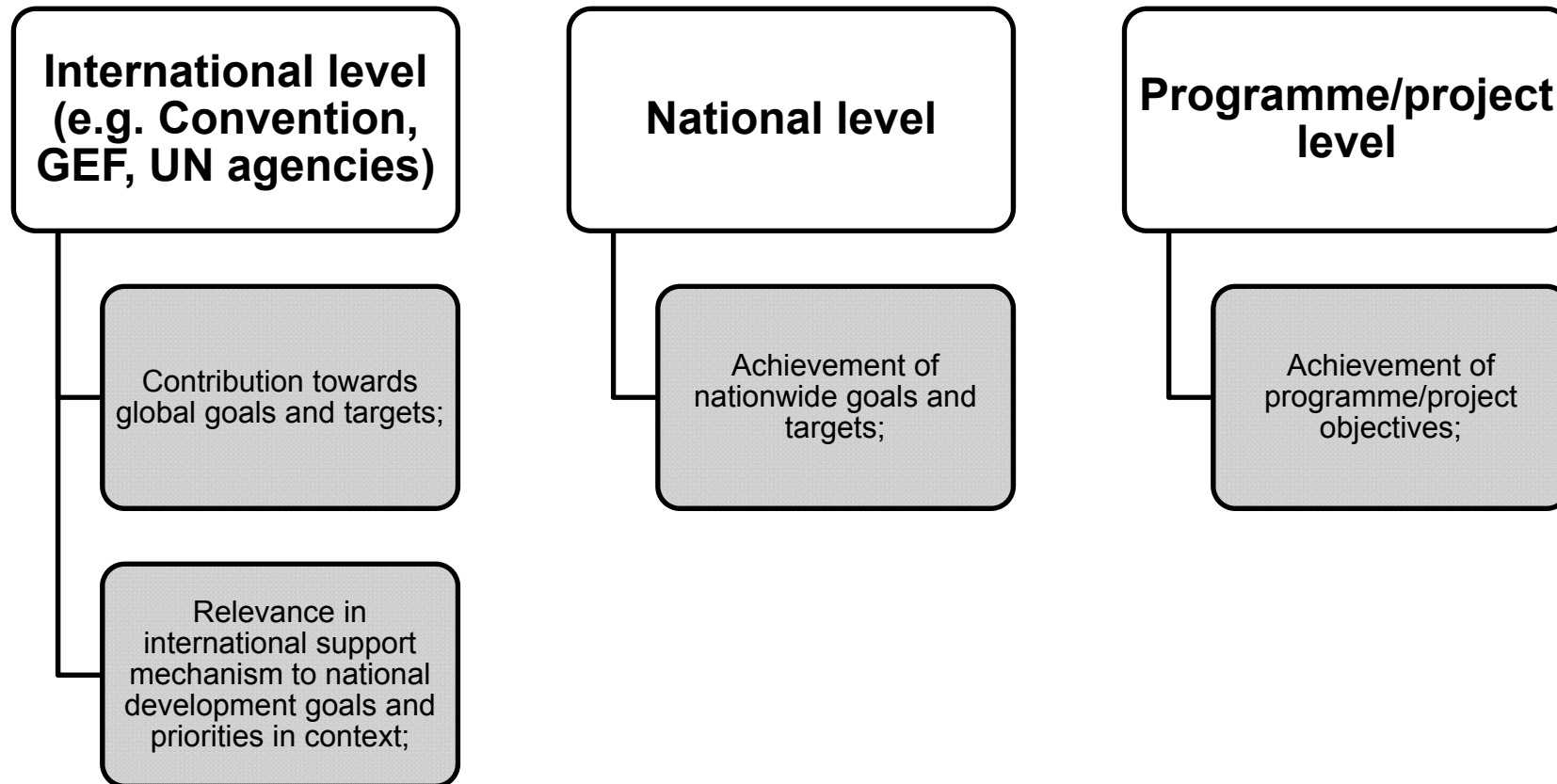
Impact of  
adaptation  
measures

Etc.



## G. Different levels of monitoring and evaluation

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## H. Key processes in monitoring and evaluation

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- 1 Stakeholder engagement
  - 2 Translating project goals and objectives into 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
- 





## I. Identifying the contribution to adaptation

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### **Building adaptive capacity:**

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

- *Sample parameters:* 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

### **Reducing vulnerability and risk:**

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

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

### **Securing development goals in the face of climate change:**

Development goals as the focus

- *Sample parameters:* 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



## J. Monitoring and evaluation frameworks

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### 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



## K. Capacity/resource needs for M&E

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**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

**Individuals** that are motivated, committed, competent and interested in M&E;

**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;

**Guides, manuals, communication tools**, and any other support facilities.

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## L. Additional remarks

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- 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...



## M. Example: M&E of adaptation in Mongolia

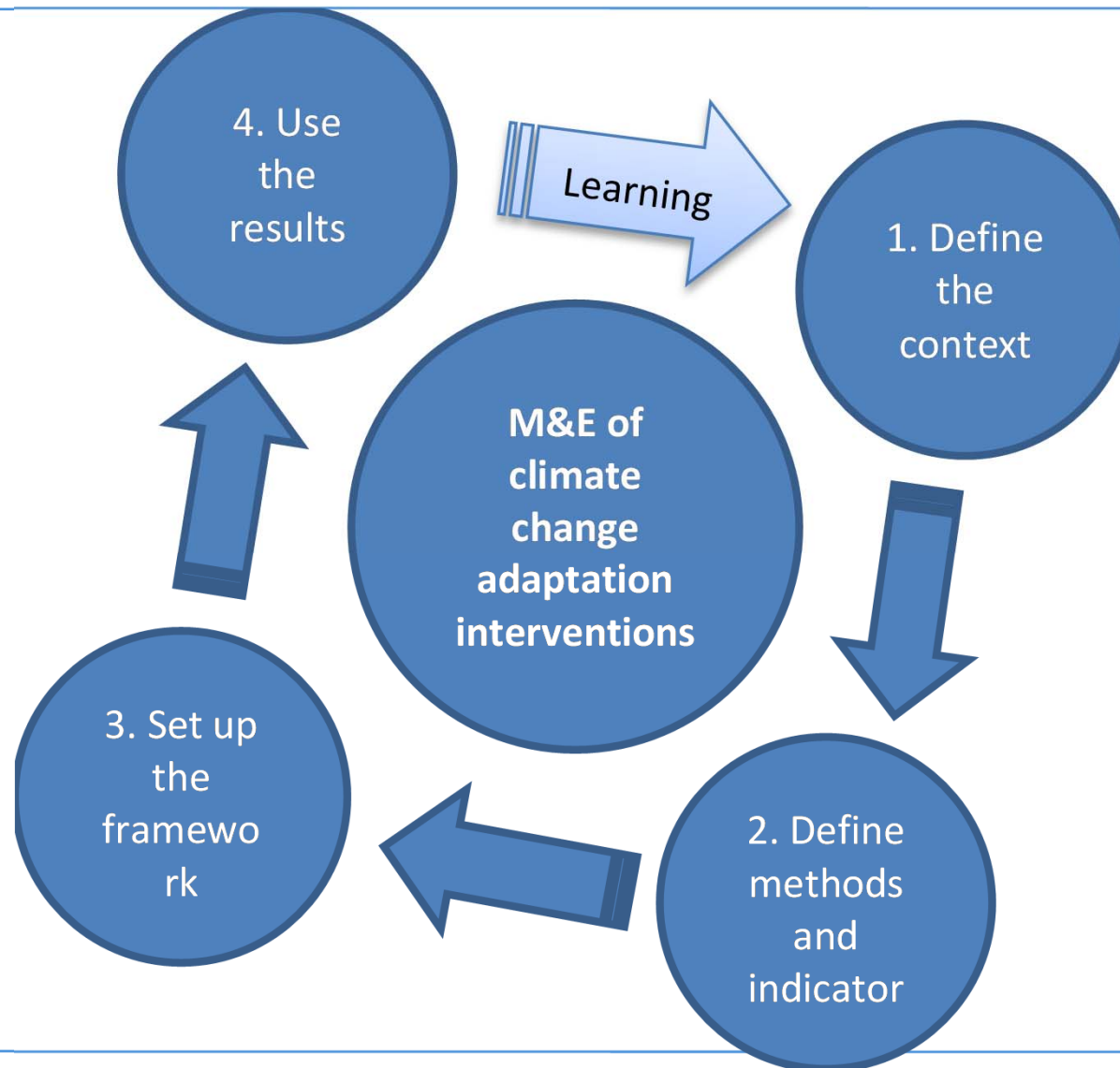
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### Guidance for Integrating Monitoring and Evaluation of Climate Change Adaptation into Strategies in Mongolia

- **Partners:** Ministry of Environment and Green Development, GIZ Biodiversity and Adaptation of Key Forest Ecosystems to Climate Change programme
- **Current state:** M&E guidance published (July 2013)



## N. Steps of the Guidance of Mongolia



## O. Step 1: Context

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### **Objectives of the M&E**

- Steering the adaptation interventions
- Supporting decision-making in the political context
- Ensuring accountability to national stakeholders and international donors

### **Level and subject matter of the M&E**

#### **Level:**

- National
- All sectors

#### **Subjects:**

- Potential climate impacts (vulnerability)
- Adaptation activities
- Activity results/impacts



## O. Step 1: Context (cont'd)

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### **Users of the M&E results**

#### **Administration:**

- MEGD (information needs?)
- Political decision-makers (Government of Mongolia) (information needs?)
- Line ministries (information needs?)
- Etc.

#### **National organisations:**

- Institute for Hydrology and Meteorology (information needs?)
- Environmental Information Center (information needs?)
- Etc.

#### **International organisations:**

- Funds (e.g. Adaptation Fund, Green Climate Fund) (information needs?)
  - Etc.
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## P. Step 2: Indicators and methodologies

Level	Indicator type	Theory of change
<b>NAPCC strategic objective 2: Ensure environmental sustainability and reduce socio-economic vulnerabilities and risks through strengthening the national climate change adaptive capacity</b>	Key indicators (highly aggregated).	If possible, use repetitive vulnerability analyses to crosscheck the theory of change.
<b>Sector (e.g. water resources)</b>	Aggregated impact indicator.	Clarify how impact indicators are reflected in key indicators.
<b>Measure (e.g. river basin adaptation)</b>	Results indicator (performance, descriptive).	Clarify how measures reduce vulnerability in the sector.
<b>Major outcome (e.g. increased number of water harvesting reservoirs)</b>	Results indicator (performance, descriptive).	Clarify how outputs lead to outcomes.
<b>Activities (e.g. ecosystem-based adaptation in critical water catchments in Mongolia)</b>	Process indicators (performance), see project log frame.	Explain how activities lead to outputs.



## Q. Step 3: Set up the M&E system

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- Formalisation of the M&E framework and clarification of responsibilities
  - a) defining the modalities and methods of data collection for each indicator
  - b) defining and mobilising the required resources
  - c) agreeing responsibilities for data collection, compilation, analysis and interpretation, documentation and dissemination of results, etc. among:
    - CCCO
    - MEGD
    - line ministries
    - local authorities
    - projects
  - d) establishing baselines for each indicator
  - e) organising bi-annual stakeholder meetings for all sectors covered



## R. Step 4: Use the M&E results

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Activity	Responsible
Analysis of collected data	Conducted by academic or research institutes.
Aggregation of information for several or all indicators and comparison of baselines	Conducted by the CCCO and sector/stakeholder expert group.
Interpretation of results	Conducted by CCCO and through a bi-annual workshop that achieves broad participation.
Dissemination of key messages for users and decision-makers	Report by CCCO to: <ul style="list-style-type: none"><li>• support decision-making in the political context;</li><li>• steer adaptation interventions for effectiveness and efficiency;</li><li>• facilitate learning in the adaptation community.</li></ul>



## S. Exercise : The way forward (road-map development)

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### **Context**

- The practical development and implementation of an M&E system at national level will be confronted with various obstacles and imperfections

### **Instructions: group work (20')**

- Reflect the actual situation in your country (use matrix): What is necessary to get successfully launched and implemented an M&E system development process?
- You might indicate in the matrix, for which country which statement is relevant.
- Develop a roadmap responding to various strategy dimensions for developing an M&E system.
- Select a person to briefly present the results in the plenary

