

4. Effective processes to formulate and implement NAPs and successful adaptation – metrics of success

Expert meeting to assess progress made in the process to formulate and implement national adaptation plans (NAPs)

7 to 9 February 2018, Sao Tome, Sao Tome and Principe



1. The LEG developed a list of **10 essential functions** – to capture what an effective NAP process would produce and engender in an LDC
2. Collectively, these 10 functions would amount to a complete and successful process



Listing of the 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



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. Support 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



General metrics for the process to formulate and implement NAPs



5 main types of metrics

Metric	Context under the PEG M&E tool (example)
<i>Process</i>	Course of action taken to achieve a goal
<i>Input</i>	Tangible quantities put into a process to achieve a goal
<i>Output</i>	Products and services delivered
<i>Outcome</i>	Results that stem from the use of the outputs
<i>Impact</i>	The effect that an outcome has on something else



Process Metrics

(measure a course of action taken to achieve a goal)

- ❑ **Leader with sufficient authority** to direct the NAP process at the national level and **allocate resources to relevant actors, direct planning efforts** with participation of all **relevant ministries** and other **stakeholders**, and facilitate progress for the country.
 - ❑ A **multiyear plan** that includes **goals, focused statement of task, implementation, operational research and systematic observations, applications, and integration**, such as in the form of a *road map*.
 - ❑ A **functioning participatory process** in place involving all appropriate stakeholders, with (a) **underlying processes** and timetables, (b) **assessment of progress** toward achieving program goals, and (c) an ability to **revisit the plan** in light of new advances.
 - ❑ A strategy for **setting priorities and allocating resources** among different elements of the program (including those that cross agencies) and advancing promising avenues of relevant **research, piloting and implementation**.
 - ❑ Procedures in place that enable or **facilitate the use or understanding of the results by others** in the country as well as at the regional and global level (e.g., researchers and practitioners in other disciplines, operational users, decision makers) and promote partnerships.
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Input Metrics

(measure tangible quantities put into a process to achieve a goal)

- ❑ Sufficient **intellectual and technologic *foundation*** to support the work.
- ❑ Sufficient commitment of **resources** (i.e. people, infrastructure, financial etc.) directed specifically to allow the planned program to be carried out.
- ❑ Sufficient **resources to implement and sustain** important steps under each essential function.
- ❑ Sufficient resources to promote the development and maintenance of each of the following: (a) **human capital**; (b) **measurement systems, models and tools** where relevant, and **synthesis and interpretive activities**; (c) **transition** to operational activities where warranted; and (d) **services** that **enable the use of data and information** by relevant stakeholders.
- ❑ Activities take advantage of **existing resources** (e.g., regional historical data records, infrastructure, ongoing programmes and projects).



Output Metrics

(measure the products and services delivered)

- ❑ The activities of the process produce peer or publicly-reviewed and broadly accessible **results**, such as (a) **data and information**, (b) **quantification of important systems and processes**, (c) applicable measurement techniques, (d) **scenarios and decision support tools**, and (e) **well-described and demonstrated relationships aimed at improving understanding of processes** or enabling **forecasting** and **prediction**.
- ❑ An adequate **community and infrastructure to support** the elements of the NAP process has been developed.
- ❑ Appropriate stakeholders judge these **results to be sufficient** to address needs of the NAP process and to inform management and policy decisions.
- ❑ **Synthesis and assessment products are created** that capture key *experiences and lessons* learned from carrying out the NAP process.
- ❑ **Results and outputs of the NAP process are communicated** to an appropriate range of stakeholders.



Outcome Metrics

- ❑ The activities under the NAP process have engendered significant ***new avenues of action and resources*** to address the objectives of adaptation.
 - ❑ The element of the NAP process has yielded ***improved understanding***, such as (a) more consistent and reliable **predictions or forecasts of risks and sources of vulnerability** to climate change, (b) **increased** confidence in our **ability to cope and deal** with climate change and **variability**, and (c) broadly **accepted** conclusions about **key issues or relationships**.
 - ❑ **Assessment results and pilot activities** have **been transitioned to operational use**.
 - ❑ **Institutions and human capacity have been created** that can better address a range of related problems and issues in addressing adaptation.
 - ❑ **The measurements, analysis, and results are being used** (a) to answer the high-priority climate adaptation questions that motivated them, (b) to address objectives outside the NAP within broader sustainable development, or (c) to support beneficial applications and decision making, such as forecasting and early warning systems, cost-benefit analysis, or improved assessment and management of risk.
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Impact Metrics

- ❑ The results of the NAP process have *informed policy and improved decision making* in the country on adaptation issues and ultimately on development planning.
- ❑ The program has *benefited society* in terms of protecting and enhancing economic vitality, promoting environmental stewardship, protecting life and property, and reducing vulnerability to the impacts of climate change.
- ❑ *Public understanding* of climate adaptation issues has increased.



Elements of effective processes to formulate and implement NAPs

See PEG M&E publication for 10 principles. We focus on 5 key ones:

- ❑ **Leadership** to guide the NAP process and redirect resources;
- ❑ **A plan of action** against which to apply measures of the work, assess progress;
- ❑ The potential to use metrics not just as simple measures of progress, but as **tools to guide strategic planning**;
- ❑ Availability of human, financial, and computational **resources** required for the development and application of metrics;
- ❑ Adjustment in metrics is necessary to keep pace with scientific progress and programme objectives, allowing to **learn from experience** and foster future progress.



Group assignment at tables

Go through the generic metrics under each of the 5 types (process, input, output, outcome, impact) and select 2-3 each that we can apply to each country to assess their progress on NAPs. You can also adjust the wording or add your own

Homework:

Open invitation to participants: please revisit the list of the Essential Functions of the process (=expected outcomes of a successful process) and offer any suggested revisions – hand your ideas to the LEG



United Nations Framework Convention on Climate Change

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