

# Monitoring and evaluating progress, effectiveness and gaps in the NAP process: at the National Level

**LEG regional training workshop on national adaptation plans (NAPs) for the Pacific LDCs, in collaboration with the NAP GSP for the LDCs**

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## Introduction

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



## M&E of the national NAP process

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- 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

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 working on this (see AC presentation at the NAP Expo <at [napexpo.org/2014](http://napexpo.org/2014)>)



## 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 be boxed into 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 NAP initial guidelines 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 in to monitor and evaluate that function

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



## Types of metrics

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Process	e.g. 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 interface with regional and international mechanisms and activities on adaptation



## 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?
- Does the mandate clearly define institutional arrangements to lead and oversee the work on adaptation?
- Does the coordination body for the NAP Process have sufficient authority and resources to coordinate engagement of all line ministries and other relevant actors in addressing adaptation?
- 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?



## 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 mandate define outputs that will be produced and used to execute the NAP process?
- Does the mandate adequately address 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 regional mechanisms on matters on adaptation? e.g. regional centres
  - Does the NAP process provide direct institutional arrangements to interface with international mechanisms? e.g. the GCF
  - 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 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
- The LEG is working on finalizing the PEG M&E Tool by end of December.



# United Nations Framework Convention on Climate Change

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## The 10 essential functions of the NAP process

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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;





## The 10 essential functions of the NAP process (cont.)

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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 the effectiveness of adaptation efforts and to demonstrate how gaps are being addressed;
10. Coordinating **reporting** and **outreach** on the NAP process to stakeholders nationally and internationally on progress to the Convention.

