

**PEG M&E tool:**  
a tool for monitoring and reviewing Progress,  
Effectiveness & Gaps (PEG) in the formulation and  
implementation of NAPs



## Monitoring and evaluation systems

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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 at **national level**:

- M&E of the national NAP process
- M&E of adaptation
- M&E of projects and programmes related to reporting requirements of support provided

M&E can also be at **international level**:

- Progress on NAP process under SBI (next in 2018)
- Paris Agreement: “global stock take” & “reviewing adequacy and effectiveness of adaptation & support”
- *Monitoring and review of LDC status and graduation from LDC status*
- *Review of MDG & SDGs*



## Inter-linkages between the 3 examples of M&E at national level

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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 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,
  - This tool targets the *process* for now, and not the adaptation or development outcomes
- Responds to the initial guidelines for NAP process on reporting on **‘Progress, Effectiveness and Gaps’ (PEG)** under the NAP process
- Builds on the **10 essential functions** (EFs) of the NAP process as defined by the LEG
  - EF: *services that the NAP process is meant to deliver to countries*
- 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



## Why the essential functions

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### **The essential functions of NAP process ...**

- 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

### **... 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
- <<insert EFs slides for reference>>



## Listing of the Essential Functions of the NAP process (LEG, 2015)

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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

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## Listing of the Essential Functions of the NAP process (LEG, 2015), *contd.*

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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 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



# Building blocks by essential function and elements of the NAP Process

## Element D: Reporting, monitoring and review

Stakeholder engagement  
Gender considerations  
Regional synergy

Cross-cutting issues

Report on progress, effectiveness and gaps

Essential Function 10: Reporting and outreach

Design and apply a monitoring and evaluation framework or system

Essential Function 9: Monitoring, reviewing and updating

Monitor and periodically review the process  
Iteratively update NAPs

## Element C: Implementation strategies

Design coherent implementation strategies including synergy (finance)

Essential Function 8: implementation and synergy

Implement and manage actions in NAPs through policies, programmes, projects and other activities (Finance)

Prioritize climate change adaptation in national planning

Essential Function 7: Prioritizing adaptation in national planning

Compile draft NAPs for consultation and endorsement

Communicating NAPs

## Element A: Laying the groundwork and addressing gaps

Essential Function 1: Leadership, coordination, interfacing

Initiate and launch the process  
Policies, regulations, legislation (mandate for the process, climate policies)  
Stakeholder consultations and engagement  
Institutional arrangements, coordination mechanisms (governance structure)  
Development of road maps for the process  
Completion of road maps for the process

Essential Function 2: Data, information, knowledge

Synthesize available information, stocktake relevant activities (science and knowledge)

Essential Function 3: Gaps and needs

Assess gaps and needs  
Address capacity gaps and needs (capacity development)

Essential Function 4: climate-development, integration

Characterize the development context and identify adaptation-development themes

## Element B: Preparatory elements

Essential Function 5: Climate risk, vulnerability and adaptation options

Analyse past climate and climate change scenarios (science and knowledge)  
Activities on integrating adaptation into national and subnational development planning  
Comprehensive assessment of climate vulnerability (science and knowledge)  
Identify adaptation options to address key vulnerabilities

Essential Function 6: Appraising adaptation options

Appraise, prioritize and rank adaptation options



## 5 main types of metrics

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



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# General metrics for the process to formulate and implement NAPs



## Process Metrics

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

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1. *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.
  2. 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*.
  3. *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.
  4. 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.
  5. 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)

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1. Sufficient intellectual and technologic *foundation* to support the work.
2. Sufficient commitment of *resources* (i.e. people, infrastructure, financial etc.) directed specifically to allow the planned program to be carried out.
3. Sufficient *resources to implement and sustain* important steps under each essential function.
4. 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.
5. 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)

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1. 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.
2. An adequate *community and infrastructure to support* the elements of the NAP process has been developed.
3. Appropriate stakeholders judge these *results to be sufficient* to address needs of the NAP process and to inform management and policy decisions.
4. *Synthesis and assessment products* are created that capture key *experiences and lessons* learned from carrying out the NAP process.
5. *Results and outputs* of the NAP process are *communicated* to an appropriate range of stakeholders.



## Outcome Metrics

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1. The activities under the NAP process have engendered significant *new avenues of action and resources* to address the objectives of adaptation.
2. 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.
3. Assessment results and pilot activities have been *transitioned to operational use*.
4. *Institutions and human capacity* have been created that can better address a range of related problems and issues in addressing adaptation.
5. 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.



## Impact Metrics

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1. The results of the NAP process have *informed policy and improved decision making* in the country on adaptation issues and ultimately on development planning.
2. 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.
3. *Public understanding* of climate adaptation issues has increased.



## 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 mobilize and manage technical and financial support for nation adaptation efforts from local, regional and international mechanisms





## 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? *(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?



***See publication for 10 principles. We focus on 5 key ones:***

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



## 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



## Exercise

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1. Consider a NAP process in one country from the group that has started
2. Each group to work on one type of metric (process, input, output, outcome, impact) and apply to one of the countries in the group
3. Select which of the generic metrics to use and answer with yes or no, and an explanation

