

This policy brief ...

Taking into account that most INDCs include adaptation components, the question of how they are linked to the NAP process, and to existing adaptation strategies and planning documents becomes pressing. This policy brief aims at stimulating and enriching discussions without attempting to provide a final answer to the question of synergies and links between adaptation components in (I)NDCs and the NAP process.

NAPs¹ are the backbone for implementing a country's (I)NDC² adaptation component

COP 19 in Warsaw and COP 20 in Lima agreed for countries to submit intended nationally determined contributions (INDCs) in the run-up to Paris. The INDCs outline greenhouse gas emission reduction targetsⁱ, which upon the entry into force of the Paris Agreement countries will start implementing as nationally determined contributions (NDCs). As of June 2016 a total of 162 INDCsⁱⁱ have been submitted by 190³ Parties to the Convention. Moreover, COP 20 also invited Parties to communicate their adaptation planning efforts in their INDCsⁱⁱⁱ. This invitation was taken up by 140 Parties^{iv}. In its article 3 the Paris Agreement clearly states that Parties should communicate ambitious efforts with a view to achieving the objective of the Agreement, including mitigation and adaptation purposes referred to in article 2. However, the Paris Agreement is ambiguous as it indicates that NDCs should cover mitigation and gives no mandate for NDCs to include adaptation components (cf. Art. 4), whereas its article 7 outlines the option of submitting adaptation communications as a component of or in conjunction with an NDC.

The NAP process in INDC's adaptation components so far

Most of the adaptation components of the INDCs (87%) make reference to climate strategic documents and pro-

cesses such as the national adaptation plan (NAP) process. Moreover, out of the 54 countries that mention the NAP process, 22 indicate having started it and 32 plan to do so prior to 2020. According to the Report on the 28th meeting of the least developed countries expert group in 2015^v and the adaptation components making references to NAPs, at least 69 developing countries are engaged in the process to formulate and implement NAPs. However, some countries that are rather advanced in their NAP process do not mention it in their INDC

¹ Although the title makes reference to the national adaptation plan (NAP) process, it also entails any similar adaptation planning process, which may include a NAP or NAP-like document.

² The term (I)NDC is used in reference to both intended nationally determined contributions (INDCs), and the first and future nationally determined contributions (NDCs).

³ 190 Parties to the UNFCCC includes the EU, a single Party representing 28 countries. A total of 162 INDCs have to date been submitted by 190 Parties to the UNFCCC, represented by 189 countries.

On behalf of



Federal Ministry
for Economic Cooperation
and Development

INDC adaptation components at a glance

Out of all submitted INDCs, 87 % include an adaptation component. The scope of countries' adaptation components in relation to the INDC as a whole varies greatly. It ranges from countries that dedicate almost or more than half of the INDC to adaptation to countries only devoting a few lines to adaptation.

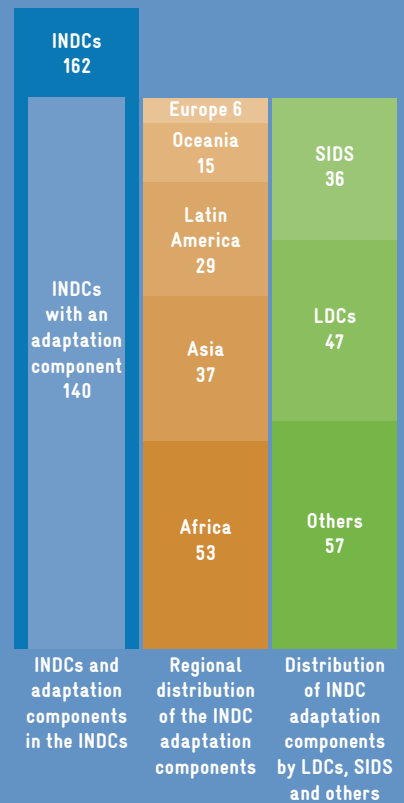
Out of the INDCs having an adaptation component ...

- 92 % of countries refer to existing qualitative forward looking goals, plans or actions. 34 % of countries contain both backward and forward looking perspectives. Around 15 % of countries also include some quantitative adaptation goals in their INDCs.
- 30 % of countries include estimated costs of adaptation. The mentioned figures and methodologies greatly vary from country to country.
- 84 % of the INDC adaptation components identify water as a priority sector, 77 % agriculture, 62 % health, 52 % ecosystems, 50 % infrastructure, 59 % forestry, 38 % energy,
- 36 % disaster risk reduction, 35 % coastal protection and 29 % fisheries⁴.
- Around 30 % include references to disaster risk management and/or sustainable development.
- According to the INDC adaptation components, many countries⁵ have integrated, or are planning to integrate climate change adaptation into relevant sectors and/or to integrate adaptation into national/regional/local development planning.

⁴ Data compiled from information retrieved by GIZ Climate Policy Support Programme and from UNFCCC (2016) updated synthesis report: 'Aggregate effect of intended nationally determined contributions: an update'.

⁵ Concrete numbers will be displayed in GIZ upcoming INDC adaptation components and NAP Publication.

Distribution of INDC adaptation components



Data retrieved by GIZ Climate Policy Support Programme

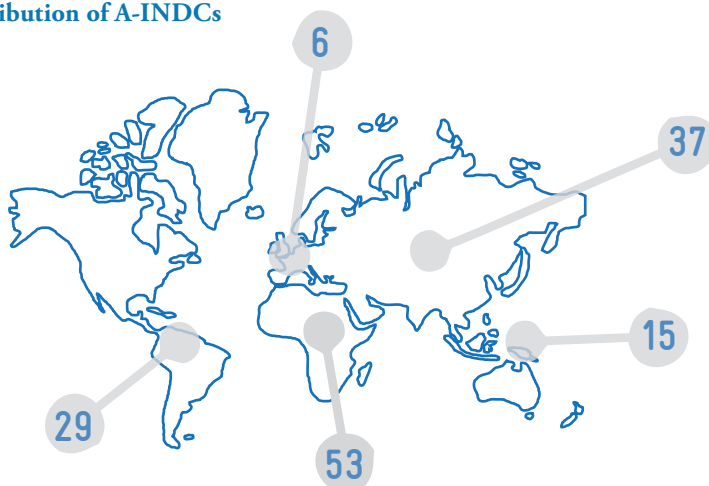
adaptation components. Thus, INDCs submitted by countries, which chose to include an adaptation component, do not necessarily comprehend all ongoing adaptation planning processes including NAP.

Call for bridging (I)NDC adaptation components and NAP process

The question of how (I)NDC adaptation components and the NAP process can be linked is pressing on both the international and national level. Originally, INDC adaptation components were mostly understood as a voluntary vehicle to internationally communicate national intentions whilst

the NAP process is primarily serving domestic planning and implementation purposes. However, at international level climate negotiations are progressing (e.g. in the context of adaptation communications), and at country level governments are concerned with the implementation of first NDCs. In that context, it becomes more crucial to ensure that the adaptation ambitions put forward in the first NDCs as well as in future adaptation communications (in the form of an NDC, NAP or other vehicles) inform and mirror the processes on the ground.

Regional distribution of A-INDCs



Data retrieved by GIZ Climate Policy Support Programme

Perspectives for further linking the NAP process and NDCs

140 INDCs containing an adaptation component indicate that most first NDCs will probably also contain an adaptation component upon the Paris

Agreement entering into force. Yet, no mandate has to date been given for countries to include adaptation in future iterations of NDCs. Countries' adaptation undertakings and relevant information will be communicated through adaptation communications. These should be submitted as a component of or in conjunction with other communications and documents, including the NDCs, NAPs and national communications. This leaves it at the discretion of each Party to decide how it will communicate its efforts. The detailed content for adaptation communications remains to be elaborated in the coming UNFCCC negotiations. Thus, the following key messages may be regarded by countries planning to submit a first NDC including an adaptation component and countries choosing to communicate their adaptation efforts through an NDC. These key messages have been prepared as a means of facilitating discussion and are based on possible corollaries that NDCs and the NAP process at international and national level can benefit from.

- I. **(I)NDC adaptation components can be an opportunity for enhancing adaptation planning and implementation by highlighting priorities and goals:** At the international level, they constitute a high-level commitment and express countries' political will for enhancing action on adaptation. At the national level, NDC adaptation components can provide momentum for the NAP process and raise the profile of adaptation. For countries which so far have not yet embarked on a national adaptation planning process, NDC adaptation components can provide the impetus for starting the NAP process.
- II. **The formulation of the NDC adaptation component goes hand in hand with the formulation of an adaptation planning/NAP process:** When formulating NDC adaptation components countries can take advantage of what they have already achieved in their national adaptation planning process and by adaptation action in general. In this sense, countries can opt to

communicate the outputs and outcomes of a country's NAP process in order to put forward a more robust NDC adaptation component.

- III. **The NAP process constitutes the basis for possible future iterations of NDC adaptation components:** Key steps and elements of the NAP process such as vulnerability assessments, gap analyses and stocktaking could help to inform the process of updating existing INDC adaptation components and formulating future NDC adaptation components in the context of adaptation communications. The NAP process can provide the basis for communicating (I)NDC adaptation components regarding current gaps and support needs, as well as with respect to enhancing adaptation goals, thereby making sure that adaptation goals will become more ambitious over time.
- IV. **The NAP process provides an ideal framework for coherent implementation of an NDC adaptation component:** It provides means for

NAP at a glance

The national adaptation plan (NAP) process was particularly created for LDCs to build on the progress made within the national adaptation programmes of action (NAPAs) and to set up a coherent medium- and long-term adaptation planning process to further reduce vulnerability and to mainstream adaptation into development planning. Other developing countries were invited to also engage in the NAP process.

- All LDCs officially submitted a NAP.

- Around 45 % of developing countries and more than 80 % of the LDCs have embarked on the process to formulate and implement NAP⁶.
- Some countries have already completed and communicated NAP documents.
- The least developed countries expert group (LEG) has developed technical guidelines for the NAP process.
- Several supplementary materials and tools have been developed for the NAP process, i.a. the NAP Coun-

- try-level Training, SNAP Tool, NAP Align, Skills assessment for NAP, Climate Services for Supporting Climate Change Adaptation, and the Vulnerability Sourcebook.
- Many countries have made considerable progress in integrating climate change adaptation into relevant new and existing policies, programmes and activities.
- Overall, countries are making good progress in the NAP process although it is mostly too early to assess how it has contributed towards reducing vulnerability.

⁶ The percentage was calculated by adding the number of developing countries mentioned in para. 10 of the Report on the 28th meeting of the least developed countries expert group and data retrieved from all INDCs by GIZ Climate Policy Support Programme.

implementation of NDC adaptation components by inter alia mainstreaming adaptation into budgets, identifying financing strategies, developing bankable projects and managing demand for international support in addition to countries' own resources.

V. The existence of a (I)NDC adaptation component or a NAP document is not a precondition for support of adaptation activities both in the context of NDC-implementation or for the process to formulate and implement NAPs: Countries were invited at COP 20 to communicate their adaptation planning in their INDCs at their discretion. Moreover, in the context of the NAP process it is voluntary for countries to submit a separate NAP document. Both NDCs and NAP are two of the vari-

ous vehicles which can be submitted as adaptation communications under the Convention.

Overall, efforts need to be taken by donors to showcase that linkages between the (I)NDC adaptation components and NAP processes lead to enhanced and more effective action on adaptation.

- i. 1/CP.19 para. 2 (b), 1/CP.20 paras. 9 and 10, and UNFCCC Art. 2.
- ii. www4.unfccc.int/submissions/INDC/Submission%20Pages/submissions.aspx (last accessed June 23, 2016).
- iii. Para. 12 of decision 1/CP.20.
- iv. Data retrieved by GIZ Climate Policy Support Programme.
- v. Para 10 [Report on the 28th meeting of the least developed countries expert group](#).

This is an extract from GIZ upcoming publication on (I)NDC adaptation components and the NAP process.

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About the GIZ Climate Policy Support Programme

GIZ Climate Policy Support Programme aims at developing and mainstreaming innovative approaches to tackle the challenges of climate change in the context of German Development Cooperation. On behalf of the Federal Ministry for Economic Cooperation and Development (BMZ), it supports developing countries in their efforts to mitigate climate change and to adapt efficiently to its impacts. Through conceptual and practical activities, the Climate Policy Support Programme actively contributes to the implementation of the Paris Agreement and the UN Sustainable Development Goals.

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