

This policy brief ...

This policy brief is based on a comprehensive study¹ on linkages between NAP and NDC. It explores benefits, opportunities and challenges of using the NAP process for the implementation of NDC adaptation goals and how the NAP process can inform future iterations. The policy brief argues that linking the NAP process and NDCs can accelerate enhanced adaptation action. It also contains guiding questions for countries considering to use the NAP process in this way, as well as key messages for policy-makers. The document builds on a previous policy brief titled [\(I\)NDC adaptation components and NAP](#) and is drawing on information from an assessment of (I)NDCs² as well as interviews with national adaptation policy-makers and experts from international organisations¹.

¹ [The Role of the NAP Process in Translating NDC Adaptation Goals into Action – Linking NAP processes and NDCs](#)

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).

How the NAP Process Can Help Translating NDC Adaptation Goals into Action

With the adoption of the 2030 Agenda for Sustainable Development and the Paris Agreement in 2015, adaptation is now firmly anchored in the international agenda. In the lead up to the 21st Conference of the Parties (COP21) of the United Nations Framework Convention on Climate Change (UNFCCC) in Paris, Parties to the Convention agreed to submit intended nationally determined contributions (INDCs). In doing so they outlined their commitments to reducing greenhouse gas emissions and had the option of also including an adaptation componentⁱⁱ. Article 7.9 of the Paris Agreement suggests that all Parties shall, as appropriate, engage in the formulation and implementation of national adaptation planning processes, such as the national adaptation plan (NAP) process. In addition, Article 7.10 states that Parties should periodically submit an adaptation communication to the UNFCCC. It could be submitted as part of or in conjunction with other

communications or documents such as a NAP, a nationally determined contribution (NDC) and/or a national communicationⁱⁱⁱ.

The strong relationship between climate change and sustainable development is acknowledged by the Paris Agreement and clearly reflected in the 2030 Agenda, with Sustainable Development Goal (SDG) number 13 focusing on building resilience to the impacts of climate change. Both the 2030 Agenda and the Paris Agreement need to be disaggregated into national strategies and integrated into national development plans and policies. It is crucial to develop coherent approaches at the intersection of sustainable development, mitigation and adaptation. These approaches should integrate these post 2015 agendas into coherent national development plans and policies for sustainable and climate-resilient development.

On behalf of



Federal Ministry
for Economic Cooperation
and Development

Most developing countries included an adaptation component in their (I)NDC

As of April 2017, a total of 143 countries had ratified the Paris Agreement^{iv} of which 137 had submitted NDCs to the UNFCCC, with 102^{3v} including an adaptation component⁴. As a matter of fact, most developing countries included an adaptation component in their (I)NDC (see Figure 1). A total of 39 NDC adaptation components refer to the NAP process of which 23 note that the process has already commenced and 16 state that it will start by 2020 (see Figure 1)⁵. However, the UNFCCC report released in October 2016 on progress in the process of formulating and implementing NAP indicates that many more countries, including over 80% of least developed countries (LDCs), have embarked on a NAP process^{vi}.

Key messages for policy-makers

1. **Linking the NDCs to the NAP process can accelerate enhanced adaptation action.** Many countries consider the NAP process as the backbone of national adaptation planning and action. They regard it as beneficial to link the formulation and implementation of NDC adaptation components to the NAP process, that way reinforcing each other.
2. By including adaptation into their (I)NDCs and formulating adaptation goals at national level, **the profile of adaptation has been raised on the national agenda.**
3. Increasing high-level political buy-in from national governments is seen by international and national stakeholders as the biggest challenge to catalyzing adaptation action – **linking the NAP process to NDC implementation can increase political support internationally and domestically for the NAP process.**
4. Regardless of where countries may be in their NAP process and whether the (I)NDC includes an adaptation component, **the NAP process can inform the development of possible future iteration of adaptation goals: ‘what’ a country is seeking to achieve. Above all the NAP process can facilitate the implementation of the adaptation goals and define ‘how’ NDC adaptation goals are implemented.**
5. **Linking the NAP process to the development of NDCs can help identifying mitigation-adaptation co-benefits and vice versa.** It thereby helps securing that mitigation actions are climate-resilient and that adaptation actions are consistent with a pathway towards low greenhouse gas emissions.
6. **Establishing coherent governance structures at the national level can help avoiding duplication of efforts and make efficient use of limited resources.** This is achieved through increased institutional coordination, stakeholder collaboration and joint capacity building, thereby facilitating a mutually supportive NAP process as well as the development of possible future and implementation of current NDC adaptation goals.
7. **Linking NDC implementation to the NAP process facilitates the integration of adaptation into national budget cycles.** In that way it encourages investments by the private sector and international finance institutions.
8. Linkages between the NAP process and NDC implementation and possible future iterations can help **streamline countries’ transparency frameworks, such as countries’ adaptation communications.**
9. Developing and implementing NDC adaptation goals through the NAP process could emphasize and reinforce a broader development context and thereby **support delivery of the SDGs.**
10. **Aligning global and in-country efforts** to support countries in the NAP process and the planning and implementation of NDC is **key for enhanced adaptation action.**

³ All the numbers in reference to (I)NDC adaptation data mentioned hereinafter were extracted from the [Tool for Assessing Adaptation in the NDCs \(TAAN\)](#).

⁴ As of 27 April 2017, a total of 164 INDCs (on behalf of 192 Parties to the UNFCCC, represented by 191 countries) were submitted to the UNFCCC of which 145 included an adaptation component. Unless Parties chose to amend their INDCs when ratifying the Paris Agreement then these documents became their first NDCs.

⁵ Of the 145 INDCs including adaptation, 55 specifically refer to the NAP process with 28 mentioning that it has commenced and 27 stating that it will start by 2020.

Content and structure of (I)NDC adaptation components vary

- The extent to which (I)NDC adaptation components elaborate on planning of adaptation actions varies and reflects the lack of agreement on the content and purpose of (I)NDC adaptation components.
- Most of the (I)NDC adaptation goals refer to each respective country's NAP process or other established adaptation plans and strategies.
- Most adaptation goals included in the (I)NDCs are qualitative and may relate closely to national development goals. However, they may not reflect the full extent of monitoring and evaluation as presented in the NAP document or other plans and strategies on which they are based.
- A number of (I)NDCs highlight mitigation and adaptation synergies and co-benefits.
- Most sectoral adaptation actions mentioned in the (I)NDCs do not fully address the main vulnerabilities in a given sector.
- Approaches to coordinate the development of the (I)NDC and the NAP process vary from country to country. In some cases, the same ministry is in charge of coordinating work on both the (I)NDC and the NAP process. In other cases, the ministry responsible for the (I)NDC may be involved in committees associated with the NAP process or vice versa.

Figure 1: Distribution of countries that included an adaptation component and referred to the NAP process in their (I)NDCⁱ

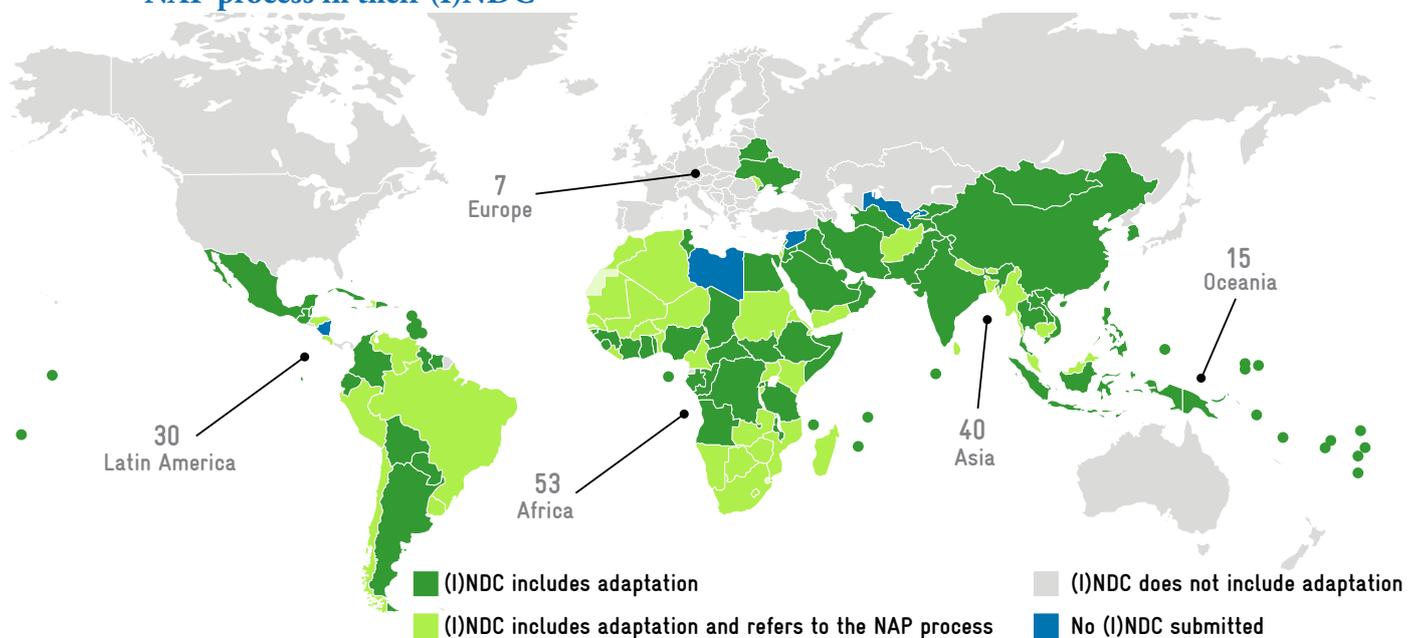
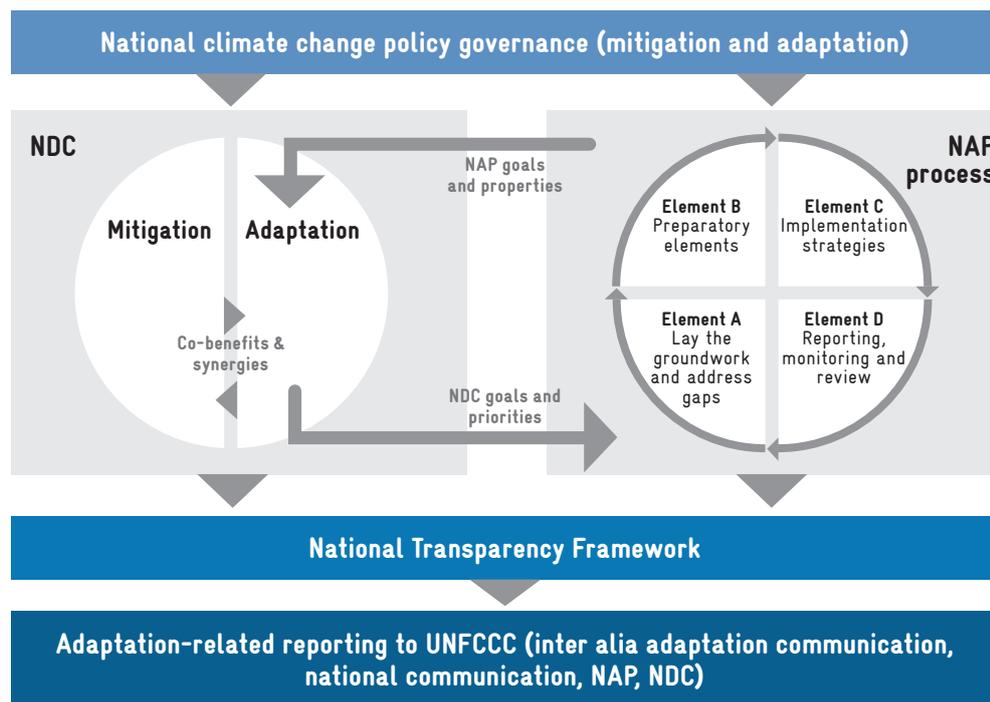


Figure 2: A mutually supportive NAP process and NDC

The inclusion of adaptation in (I)NDCs is considered beneficial

Interviews with national leaders on adaptation in six countries (Albania, Bangladesh, Jordan, Morocco, South Africa and Togo) and interviews with experts from international organisations (GIZ (Vanuatu), the United States Agency for International Development (USAID), the United Nations Environment Programme (UN Environment) and the Food and Agriculture Organization of the United Nations (FAO)) indicated a common desire to link NDC adaptation components to the NAP process. This was perceived as a way to inform and reinforce each other, irrespective of the current extent to which countries have engaged in NDC adaptation components or the degree to which they have progressed in the NAP process.

1. The profile of adaptation has been raised considerably, nationally and internationally. It has by now reached a comparable level to mitigation. Experts from international organisations noted that by including adaptation components in (I)NDCs, countries have increased recognition of the need for adaptation. For example: at a national level, Jordan's NDC will enable it to place greater emphasis on adaptation and Vanuatu's NDC has provided an opportunity to showcase its evidence-based approach for adapting to climate change.
2. (I)NDC adaptation components have highlighted co-benefits arising from adaptation, mitigation and sustainable development. Albania's INDC preparation created national awareness that climate-proofing mitigation activities are necessary. In Bangladesh, next to prioritizing adaptation activities that align with its economic growth objectives, the NDC also prioritized adaptation activities with significant mitigation co-benefits.
3. Developing an adaptation component of (I)NDCs and linking it to the NAP process stimulated communication and coordination on adaptation action nationally. The USAID noted that national awareness regarding the benefits that coordination measures provide when addressing climate vulnerabilities has increased as a result of linking the (I)NDCs to the NAP process. Better coordination of national priorities has brought about synergies between adaptation and mitigation. GIZ highlighted that until Vanuatu developed its INDC, the country had not needed to draw the big picture on adaptation, rather stakeholders were working in silos.
4. Including adaptation in INDCs has created scope for NDCs and the NAP process to be mutually reinforcing. According to the FAO, it is important for LDCs to maintain a higher profile on adaptation through linking NDCs to the NAP process. The UN Environment states that the next steps in implementing NDC adaptation components should be to increase understanding of the NAP process and secure associated funding.

Linking NDCs to the NAP process can accelerate enhanced adaptation action

As described in Figure 2, possible linkages of a mutually supportive NAP process and NDC have several implications: for national climate change policy governance and coordination, for national transparency frameworks and adaptation-related reporting to the UNFCCC. The NAP process with its common iterative approach as described in the technical guidelines developed by the Least Developed Countries Expert Group (LEG) can be tailored to specific national circum-

stances and also support the development and implementation of NDC adaptation goals.

Linking the implementation and possible future iterations of NDC adaptation components to the NAP process opens up an opportunity to improve ministerial coordination on adaptation and thus creating a unified governance structure. This could ensure that groundwork for the NAP process (Element A) takes due account of the NDC goals and priorities. Similarly, it could mean that preparatory elements of the NAP process (Element B), most notably goals and priorities from the NAP document itself, could help identifying the NDC adaptation component

or its revision. In addition, any potential synergies and co-benefits of mitigation for adaptation and vice versa – could also support a more strategic and effective approach to securing climate finance for both NDC implementation and the NAP process.

Harmonizing governance structures and creating a mutually supportive NAP process and NDC could streamline a country’s transparency framework, the preparation of NDC updates, national communications and adaptation communications (e.g. which might be included in national communications or might be updates on the NAP process).

Figure 3: Countries’ starting points for linking the NAP process to their NDCs^{vii}

		STATUS OF NDC ADAPTATION COMPONENT		
		IN PLACE	TO BE DEVELOPED	NOT TO BE DEVELOPED
STATUS OF NAP PROCESS	ONGOING	<p>1: NAP process ongoing & NDC adaptation component in place</p> <ul style="list-style-type: none"> NAP process can implement NDC adaptation goals (“the what”) through cross-sectoral coordination of adaptation activities (“the how”). NAP process can be used to update NDC adaptation goals. Co-benefits between mitigation and adaptation actions can be identified and considered by the NAP process and included in NDC updates. Synergies possible in relation to governance and coordination, finance, and transparency by implementing and developing NDC adaptation goals through the NAP process. 	<p>3: NAP process ongoing & NDC adaptation component to be developed</p> <ul style="list-style-type: none"> NAP process can be used to develop the NDC adaptation component. NAP process can be used to identify and consider co-benefits between mitigation and adaptation for inclusion in the NDC. Synergies possible in relation to governance and coordination, finance, and transparency by developing NDC adaptation goals through the NAP process. 	<p>5: NAP process ongoing & NDC adaptation component not to be developed</p> <ul style="list-style-type: none"> Co-benefits between mitigation and adaptation actions can be identified and considered by the NAP process and included in NDC updates.
	NOT STARTED	<p>2: NAP process not started & NDC adaptation component in place</p> <ul style="list-style-type: none"> NDC adaptation goals need to inform development of the NAP process. NDC governance and coordination framework may be able to support the NAP process. Financial sources available for the NAP process (e.g. GCF NAP readiness support) can be used to further advance the implementation of NDC adaptation components through the NAP process. 	<p>4: NAP process not started & NDC adaptation component to be developed</p> <ul style="list-style-type: none"> NAP process can provide adaptation inputs for NDC adaptation component; NDC adaptation component can communicate adaptation goals from the NAP process. NAP process can be used to identify and consider co-benefits between adaptation and mitigation for inclusion in the NDC. NDC governance and transparency frameworks may be able to support the NAP process. 	<p>6: NAP process not started & NDC adaptation component not to be developed</p> <ul style="list-style-type: none"> If the NAP process is to be initiated mitigation and adaptation co-benefits can be identified and included in the future iterations of the NDC.

Guiding countries in linking NDC adaptation components to the NAP process

Regardless of where countries may be in their NAP process and whether the (I)NDC includes adaptation, they can increase linkages at any time, as ap-

propriate, to enhance implementation and development of the NDC adaptation goals through the NAP process.

Figure 3 has been developed as a tool to help countries understand their current situation and show possible starting points for linking the NAP

process and NDCs. The arrows indicate the possible directions a country may take towards the realization of a mutually supportive NAP process and NDC (as indicated by the graphic through increasingly darker shades of blue).

Table 1: Opportunities, challenges and guiding questions for the implementation and development of NDC adaptation goals through the NAP process

KEY OPPORTUNITIES AND CHALLENGES	GUIDING QUESTIONS
EXPERTISE AND GUIDANCE	
Expertise and guidance developed for the NAP process can be very valuable for the implementation and development of NDC adaptation goals.	If a country is well underway in the NAP process, how can the first results and experiences be evaluated and applied to advance the implementation of the adaptation objectives of the NDC?
	In general, how can the guidance material of the NAP process be used to advance the development and implementation of adaptation objectives of the NDC? For instance the NAP technical guidelines and complementary material such as the SNAP Stocktaking for National Adaptation Planning tool ^{viii} , GIZ's Vulnerability Sourcebook ^{ix} , NAP Align ^{x,xi} , Guidebook for Linking National and Sub-national Adaptation Processes ^{xii} , the Climate Finance Reflection Tool CliF Reflect ^{xiii} , Guidebook on Developing National Adaptation Monitoring and Evaluation Systems ^{xiv}
GOVERNANCE AND COORDINATION	
Implementing or developing NDC adaptation goals through the NAP process can promote policy coherence and clarity on national priorities by increasing institutional coordination and stakeholder collaboration. It can also avoid duplication of efforts and thereby ensure the most efficient use of limited capacities and resources. However, it can be challenging to achieve collaboration and coordination due to potentially competing priorities of different sectors, institutions, stakeholders and issues related to political ownership and commitment.	What are the underlying reasons, in case a country is well advanced in the NAP process and the NDC adaptation goals are not reflective of those in the NAP document? Is there a political will to align both documents? Is there a need to revise the NAP document or the NDC or both? What information exchange processes are needed between the NAP process and NDC implementation to support timely updates of both and take advantage of synergies?
	What scope is there to align governance and coordination processes for the NAP process and NDC, promote policy coherence and clarity on national priorities and thereby avoid duplication of efforts? Which governance and coordination processes can be aligned?
	How can resources (technical, capacity building or financial) be used most efficiently to advance implementation of adaptation actions? Can the NAP process serve as the vehicle to efficiently progress in implementing the NDC adaptation component?

Table 1: cont.

KEY OPPORTUNITIES AND CHALLENGES	GUIDING QUESTIONS
FINANCE	
<p>Implementing and developing NDC adaptation goals through the NAP process has the potential to mobilize greater finance for adaptation.</p> <p>On the one hand it could make future NDC-related funding accessible for NAP implementation.</p> <p>On the other hand it could also access funding available for the NAP process for the implementation of NDC adaptation goals.</p> <p>Furthermore, linking NDC implementation to the NAP process facilitates the integration of adaptation into national budget cycles. This could help to encourage investments by the private sector and international finance institutions.</p>	<p>If a country is well advanced in the NAP process, which sources of finance identified therein, i.e. through the development of a financing strategy, can be used to implement the NDC adaptation goals? Which additional sources of NDC-related finance can be leveraged to implement the NDC adaptation goals via the NAP process?</p> <p>If a country is not yet very advanced in the NAP process, how can financial resources accessible for the process to formulate and implement NAP (i.e. GCF NAP readiness support) contribute to refine and operationalize the implementation of adaptation goals of the NDC?</p>
TRANSPARENCY	
<p>Implementing and developing NDC goals through the NAP process can avoid duplication of efforts and support improved and coherent national monitoring and evaluation, and reporting systems.</p> <p>However, in the beginning it is possible that a harmonized and standardized monitoring and reporting system may require additional resources.</p>	<p>What kind of information exchange is needed between the NAP process and NDC implementation to support timely updates of both and take advantage of synergies?</p> <p>How can linkages between the NAP process and NDC promote the development of a coherent standardized monitoring and evaluation, and reporting system?</p> <p>If a country is well advanced in the NAP process, how can the monitoring and evaluation framework set therein be applied to the NDC adaptation goals?</p>



Endnotes

- i. [The Role of the NAP Process in Translating NDC Adaptation Goals into Action: Linking National Adaptation Plan Processes and Nationally Determined Contributions](#)
- ii. 1/CP.20, paras 9–14
- iii. Paris Agreement, Art. 7 para 9 and 11
- iv. https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=XXVII-7-d&chapter=27&clang=en (last accessed April 27, 2017)
- v. [Tool for Assessing Adaptation in the NDCs Version 3 \(forth\)](#)
- vi. FCCC/SBI/2016/INF.11
- vii. [NAP Global Network, Using NDCs and NAPs to Advance Climate-Resilient Development](#)
- viii. [SNAP: Stocktaking for National Adaptation Planning: Assessing capacity for implementing NDCs](#)
- ix. [The Vulnerability Sourcebook. Concept and guidelines for standardised vulnerability assessments](#)
- x. [Aligning National Adaptation Plan \(NAP\) processes to development and budget planning](#)
- xi. [NAP Align. Recommendations for aligning national adaptation plan processes with development and budget planning. Supplementary material to the NAP technical guidelines](#)
- xii. [NAP Global Network, Vertical Integration in National Adaptation Plan \(NAP\) Processes: A guidance note for linking national and sub-national adaptation processes](#)
- xiii. [Assessing needs for climate finance readiness. The Climate Finance Reflection Tool – Clif Reflect](#)
- xiv. [Developing national adaptation monitoring and evaluation systems: A guidebook](#)

About the NDC Partnership

The NDC Partnership is a coalition of countries and international institutions, launched at COP22, with the objective to enhance cooperation amongst member countries in order to provide better access to technical knowledge and financial support necessary to deliver on their NDCs and related SDG commitments. The Partnership aims to better align and to effectively coordinate global and in-country NDC implementation efforts while making use of existing resources and networks.

For example, to improve linkages between NDCs and the NAP process the partnership seeks to closely work together with the NAP Global Network, which was launched at COP20 in Lima by Germany together with the US and other developed and developing countries with the objective to enhance adaptation processes in developing countries by coordinating bilateral support and in-country actors.

For more information on the NDC partnership, please visit their website: www.ndcpartnership.org
For more information on the NAP Global Network, please visit their website: naglobalnetwork.org

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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