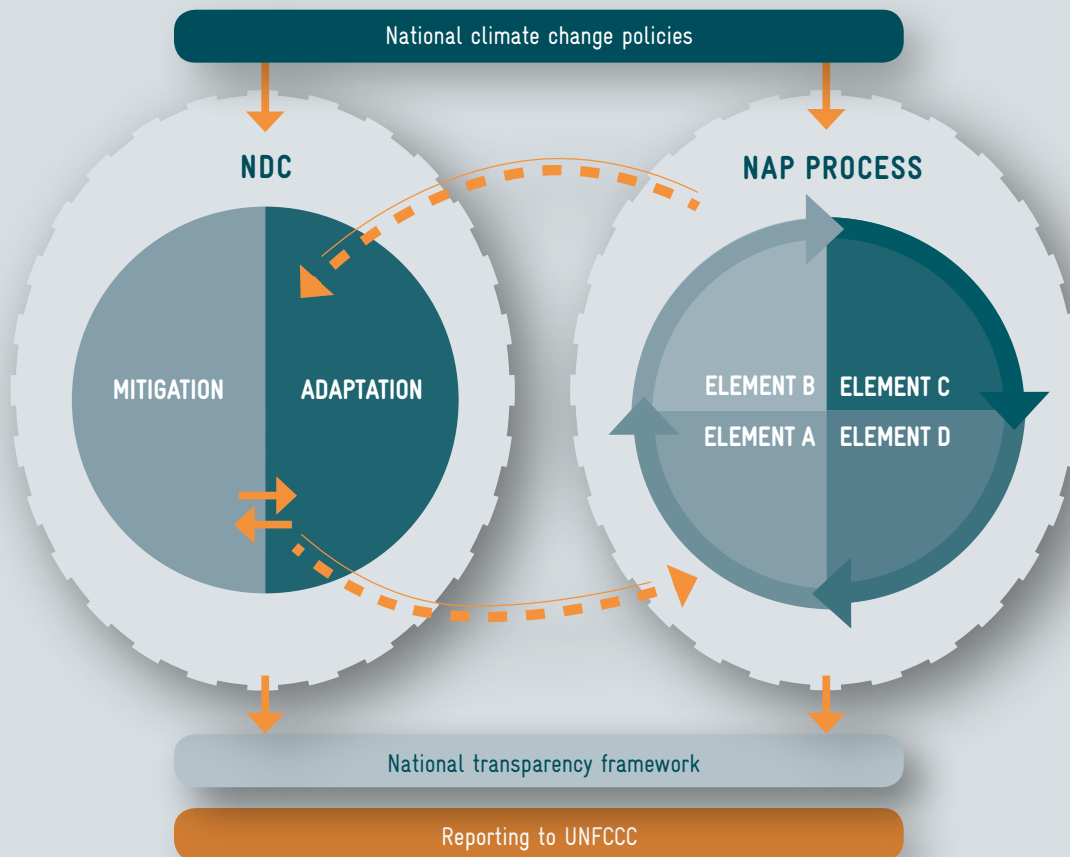


The Role of the NAP Process in Translating NDC Adaptation Goals into Action

Linking NAP processes and NDCs



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EXECUTIVE SUMMARY

With the adoption of the 2030 Agenda for Sustainable Development and the Paris Agreement in 2015, adaptation is now firmly on 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 in 2015, Parties to the Convention agreed to submit intended nationally determined contributions (INDCs). In doing so, they outlined their commitments to reducing greenhouse gas (GHG) emissions and had the option to also include adaptation. Unless countries chose to amend their INDCs before ratifying the Paris Agreement, these documents became their first nationally determined contributions (NDCs).

According to Article 7.9 of the Paris Agreement all Parties shall, as appropriate, engage in the formulation and implementation of national adaptation planning processes, such as the national adaptation plan (NAP) process. The Paris Agreement also states that Parties should periodically submit an adaptation communication to the UNFCCC. It could be submitted as part of or alongside other communications or documents, such as a NAP, NDC and/or national communication.

As of 17 May 2017, a total of 140 NDCs (165 INDCs) (on behalf of 145 countries¹) were submitted to the UNFCCC, of which 104 NDCs (145 INDCs) included adaptation. 39 (55) of these specifically refer to the NAP process as being planned or already in progress. However, the Least Developed Countries Expert Group (LEG) to the UNFCCC has reported that 85 countries, including 45 Least Developed Countries (LDCs) have actually begun the process. As of 17 May 2017, most of the 145 countries that ratified the Paris Agreement made little or no change to adaptation-related content in their NDC. These countries are now considering how NDC adaptation goals can be operationalised through implementing existing national adaptation strategies and plans or how developing national adaptation planning processes could support NDC implementation.

Emerging economies and developing countries are facing particular challenges when it comes to implementing the NDCs – due to factors such as the economic development expected to take place in these countries, and potential financial and capacity constraints. International development partners can provide valuable support in that endeavour, so the NDC Partnership was launched at COP22. This coalition of developed and developing countries and international institutions has the objective to enhance cooperation so that countries have more effective access to the technical knowledge and financial support necessary to deliver on their NDCs and related Sustainable Development Goal (SDG) commitments. Generating increased understanding of the role of the NAP process in translating NDC adaptation goals into action plays an important role to achieve this objective.

This study aims to:

- *increase understanding of (I)NDC² adaptation components and the extent to which they are aligned with existing adaptation planning documents, and processes to mainstream adaptation into national planning, such as the NAP process;*
- *identify how NDCs and the NAP process can together help to accelerate adaptation action by indicating how adaptation goals expressed in the (I)NDCs can be implemented and developed through the NAP process;*
- *provide guidance to national policymakers on how to link the NAP process and NDCs.*

This publication is primarily for policymakers, decision-makers and practitioners who are working on climate change adaptation at a national level (e.g. ministries of environment, climate change focal points, and adaptation and sectoral experts).

Research for the study involved:

¹ There are 197 Parties to the Convention. These include 196 countries and one Party, the EU, which represents 28 countries. As of 17 May 2017, 165 INDCs have been submitted on behalf of 193 Parties to the Convention (including the EU).

² The term (I)NDC is used in reference to INDCs, and the first NDCs.

- *an assessment of (I)NDC adaptation components;³*
- *development of country case studies based on interviews with national policymakers on adaptation from six countries (Albania, Bangladesh, Jordan, Morocco, South Africa and Togo) and supported by a review of national climate policy documents;*
- *interviews with experts from international organisations (Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), the Food and Agriculture Organisation of the United Nations (FAO), United Nations Environment Programme (UN Environment) and the United States Agency for International Development (USAID)).*

Interviews with national and international stakeholders have shown a range of possible ways in which including adaptation content in (I)NDCs has been beneficial:

- *the profile of adaptation has been nationally and internationally raised to a comparable level to mitigation;*
- *inclusion of adaptation in INDCs has created scope for NDCs and the NAP process to be mutually reinforcing;*
- *developing an (I)NDC adaptation component and linking it to the NAP process stimulated communication and coordination on adaptation action nationally;*
- *(I)NDC adaptation components have highlighted co-benefits arising from adaptation, mitigation and sustainable development.*

The review of (I)NDC adaptation components and the interviews highlighted that these benefits could be reinforced by implementing NDC adaptation goals through the NAP process and informing possible future iterations of adaptation goals to take advantage of the following opportunities:

- *expertise and guidance developed for and drawn from the NAP process, and the NAP process itself;*

can be used in implementing and developing NDC adaptation goals;

- *implementing current or developing possible future NDC adaptation goals through the NAP process can promote political ownership, policy coherence and clarity over national priorities by increasing institutional coordination and stakeholder collaboration;*
- *avoiding duplication of effort can ensure the most efficient use of limited capacities and resources;*
- *implementing current and developing possible future NDC adaptation goals through the NAP process has the potential to mobilise greater finance for adaptation as it can increase the ownership of a country's adaptation goals and support future NDC-related funding being directed towards NAP implementation;*
- *implementing current and developing possible future NDC goals through the NAP process can support improved national monitoring and evaluation (M&E), and reporting systems.*

For countries that are considering how to proceed with linking the NAP process and NDCs, the study identifies countries' possible starting points and provides some guiding questions in relation to each of the areas of opportunity highlighted.

Key messages are:

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 in (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***

³ This assessment was conducted by means of using the [Tool for Assessing Adaptation in the NDCs \(TAAN\)](#).

- stakeholders as the biggest challenge to catalysing 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 or not the (I)NDC includes an adaptation component, **the NAP process can inform the development of possible future iterations 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 identify mitigation-adaptation co-benefits and vice versa.** Therefore, it helps to ensure 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 avoid duplication of effort 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 this way, it encourages investments by the private sector and international finance institutions.*
 8. *Linkages between the NAP process, NDC implementation and possible future iterations can help to **streamline countries’ transparency frameworks, such as countries’ adaptation communications.***
 9. *Developing and implementing NDC adaptation goals through the NAP process could emphasise 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.***

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<i>BCCSAP</i>	<i>Bangladesh Climate Change Strategy and Action Plan</i>	<i>(I)NDC</i>	<i>(Intended) Nationally Determined Contributions</i>
<i>CAF</i>	<i>Cancun Adaptation Framework</i>	<i>LDCs</i>	<i>Least Developed Countries</i>
<i>CBD</i>	<i>Convention on Biological Diversity</i>	<i>LDCF</i>	<i>Least Developed Countries Fund</i>
<i>CC&DRR</i>	<i>Climate Change and Disaster Risk Reduction</i>	<i>LEG</i>	<i>Least Developed Countries Expert Group</i>
<i>CCD</i>	<i>Climate Change Directorate</i>	<i>LULUCF</i>	<i>Land Use, Land-Use Change and Forestry</i>
<i>COP</i>	<i>Conference of the Parties</i>	<i>M&E</i>	<i>Monitoring and Evaluation</i>
<i>CRGE</i>	<i>Climate Resilient Green Economy</i>	<i>MARD</i>	<i>Ministry of Agriculture and Rural Development</i>
<i>DoEF</i>	<i>Department of Environment and Forests</i>	<i>MC</i>	<i>Multi-sectoral Commission</i>
<i>DRR</i>	<i>Disaster Risk Reduction</i>	<i>MEGS</i>	<i>Malawi Economic Growth Strategy</i>
<i>EPACC</i>	<i>Ethiopia's Programme of Adaptation to Climate Change</i>	<i>MfCC</i>	<i>Ministry responsible for Climate Change</i>
<i>EU</i>	<i>European Union</i>	<i>MGDS</i>	<i>Malawi Growth and Development Strategy</i>
<i>FAO</i>	<i>Food and Agriculture Organisation of the United Nations</i>	<i>MoE</i>	<i>Ministry of Environment</i>
<i>FWP</i>	<i>French Water Partnership</i>	<i>MPRSP</i>	<i>Malawi Poverty Reduction Strategy Programme</i>
<i>GCF</i>	<i>Green Climate Fund</i>	<i>MTP</i>	<i>Medium Term Plans</i>
<i>GDP</i>	<i>Gross Domestic Product</i>	<i>NAB</i>	<i>National Advisory Board on Climate Change and Disaster Risk Reduction</i>
<i>GEF</i>	<i>Global Environment Facility</i>	<i>NACCC</i>	<i>National Advisory Committee on Climate Change</i>
<i>GHG</i>	<i>Greenhouse gas</i>	<i>NAP</i>	<i>National Adaptation Plan</i>
<i>GIZ</i>	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH</i>	<i>NAPA</i>	<i>National Adaptation Programmes of Action</i>
		<i>NAPCC</i>	<i>National Action Plan on Climate Change</i>
		<i>NAS</i>	<i>National Adaptation Strategy</i>
		<i>NCCC</i>	<i>National Committee on Climate Change</i>
		<i>NCCPAP</i>	<i>National Climate Change Policy and Action Plan</i>
		<i>NCCRP</i>	<i>National Climate Change Response Policy</i>
		<i>NCCS</i>	<i>National Climate Change Strategy</i>
		<i>NEAP</i>	<i>National Environmental Action Plan</i>
		<i>NEP</i>	<i>National Environment Policy</i>
		<i>NGO</i>	<i>Non-Governmental Organisation</i>
		<i>NMTPF</i>	<i>National Medium Term Priority Framework</i>
		<i>SAPCC</i>	<i>State Action Plans on Climate Change</i>
		<i>SDG</i>	<i>Sustainable Development Goals</i>
		<i>SIDS</i>	<i>Small Island Development States</i>
		<i>SNAP</i>	<i>Stocktaking for National Adaptation Planning</i>
		<i>TAAN</i>	<i>Tool for Assessing Adaptation in the NDCs</i>
		<i>TNA</i>	<i>Technology Needs Assessments</i>
		<i>UNDP</i>	<i>United Nations Development Programme</i>
		<i>UN ENVIRON- MENT</i>	<i>United Nations Environment Programme</i>
		<i>UNFCCC</i>	<i>United Nations Framework Convention on Climate Change</i>
		<i>USAID</i>	<i>United States Agency for International Development</i>

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INTRODUCTION

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, all Parties to the Convention agreed to submit their intended nationally determined contributions (INDCs). In doing so, they outlined their contributions to reducing greenhouse gas emissions and had the option of also including adaptation⁴ (1). As of 17 May 2017, a total of 165 INDCs (on behalf of 192 countries⁵) were submitted to the UNFCCC. Of these, 145 included an adaptation component, with 55 specifically referring to the national adaptation plan (NAP) process as being planned or already in progress⁶. However, the Least Developed Countries Expert Group (LEG) has reported that 85 countries (of which 45 are least developed countries (LDCs)) have actually begun the NAP process (2). Unless countries chose to amend their INDCs before ratifying the Paris Agreement, these documents became their first nationally determined contributions (NDCs). As of 17 May 2017, most of the 145 (3) countries that have ratified the Paris Agreement have made little or no change to adaptation-related content in their NDC. These countries are now considering how NDC adaptation goals can be operationalised through implementing existing national adaptation strategies and plans or how developing national adaptation planning processes could support NDC implementation.

Emerging economies and developing countries are facing particular challenges when it comes to implementing the NDCs – due to factors such as the economic development expected to take place in these countries, and potential financial and capacity constraints. International development partners can provide valuable support in that endeavour, so the NDC Partnership was launched at COP22. This coalition of developed and developing countries and international institutions has the objective to enhance cooperation so that countries have more effective access to the technical knowledge and financial sup-

⁴ The Lima Call for Climate Action: “Invites all Parties to consider communicating their undertakings in adaptation planning or considering including an adaptation component in their intended nationally determined contributions.” FCCC/CP/2014/10/Add.1, Decision 1/CP.20, para 12.

⁵ There are 197 Parties to the Convention. These include 196 countries and one Party, the EU, which represents 28 countries. To date 165 INDCs have been submitted on behalf of 193 Parties to the Convention (including the EU).

⁶ This assessment was conducted by means of using the Tool for Assessing Adaptation in the NDCs (TAAN).

⁷ The Paris Agreement (Article 7.7) refers to “enhancing adaptation action” with reference to the Cancun Adaptation Framework.

⁸ For background information and an initial consideration of the synergies and linkages between the (I)NDC adaptation components and the NAP process, refer to GIZ’s policy brief: [Climate Change Policy Brief: \(I\)NDC Adaptation components and NAPs](#).

⁹ The term (I)NDC is used in reference to INDCs, and the first NDCs.

port necessary to deliver on their NDCs and related Sustainable Development Goal (SDG) commitments. Generating increased understanding of the role of the NAP process in translating NDC adaptation goals into action plays an important role to achieve this objective.

To address questions about how to implement enhanced adaptation actions effectively⁷, and how the NAP process can be used as the vehicle for implementing current and developing future possible NDC adaptation goals⁸ (4), this study aims to:

- *increase understanding of the (I)NDC⁹ adaptation components, the extent to which they are aligned with existing adaptation planning documents (such as NAPs) and provide arguments for their increased alignment;*
- *address how NDCs and the NAP process can together help to accelerate adaptation action by indicating how, on the one hand, the NAP process can support implementation of the adaptation goals expressed in the (I)NDCs while, on the other hand, the NAP process can inform possible future iterations of adaptation goals;*
- *provide guidance to national policymakers on how to define and realise the links between the NAP process and NDCs.*

This publication is primarily for practitioners, policymakers and decision-makers working on climate change adaptation at a national level (e.g. environment ministries, climate change focal points, and adaptation and sectoral experts).

Background research for this study involved three stages:

1. ***Assessing the (I)NDC adaptation components with a particular focus on NAP and NAP-like elements supplemented by more detailed reviews of 10 countries' (I)NDCs, which were selected to represent different cases from across LDCs, Small Island Developing States (SIDS), Latin America and the Caribbean, Africa and Asia-Pacific.***
2. ***Developing country case studies based on interviews with national policymakers on adaptation***

from six countries and supported by a review of national climate policy documents.

3. ***Conducting interviews with experts from international organisations*** (*Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), Food and Agriculture Organisation of the United Nations (FAO), United Nations Environment Programme (UN Environment) and the United States Agency for International Development (USAID)*).

This publication comprises eight chapters. Chapter 1, the present chapter, introduces the publication and its structure. Chapter 2 outlines the current international climate change policy context, why countries developed INDCs and included adaptation, and the background to the NAP process. Chapter 3 explores countries' differing approaches to (I)NDCs and outlines perceived benefits arising from linking the NAP process to adaptation in (I)NDCs. Chapter 4 summarises the opportunities and challenges for countries of implementing and developing possible future NDC adaptation goals through the NAP process. Chapter 5 addresses the practical implications of doing so that countries may wish to consider before deciding on how to progress from their current position. Chapter 6 presents a practical tool with guiding questions for countries that are considering how to use the NAP process to implement and develop possible future NDC adaptation goals. Chapter 7 draws together the strands of evidence addressed in this publication and identifies key policy messages. Further details of the background research and findings are provided in an annex to this publication (Chapter 8), including results of the qualitative and quantitative analysis of (I)NDC adaptation components, the country case studies and a synthesis of the interviews with international experts.

2

INTERNATIONAL CLIMATE CHANGE POLICY CONTEXT

The Paris Agreement (Art. 7.1) provides parity between mitigation and adaptation with the establishment of a global goal to enhance adaptive capacity, strengthen resilience, reduce vulnerability to climate change and, thereby, contribute to sustainable development (5). Climate change adaptation is also integral to the 2030 Agenda for Sustainable Development¹⁰, adopted in September 2015, which aims to strengthen resilience and adaptive capacity to climate-related hazards.

2.1 NDCs and adaptation

In the run up to the Paris Agreement, countries agreed at COP19 in Warsaw to submit INDCs that would serve as the vehicle for achieving the UNFCCC's objective after 2020 (6). Through the Lima Call for Climate Action at COP20, countries further agreed that adaptation could be, as appropri-

¹⁰ Sustainable Development Goal 13: "Take urgent action to combat climate change and its impacts."

¹¹ The Lima Call for Climate Action: "Invites all Parties to consider communicating their undertakings in adaptation planning or consider including an adaptation component in their intended nationally determined contributions." FCCC/CP/2014/10/Add.1, Decision 1/CP.20, para. 12.

¹² The ultimate objective of the Convention is the "stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system." United Nations Framework Convention on Climate Change, FCCC/INFORMAL/84, Art. 2.

¹³ The Paris Agreement (Art. 4.3) states that the "successive nationally determined contribution will represent a progression beyond the Party's then current nationally determined contribution and reflect its highest possible ambition"

¹⁴ The Paris Agreement (Art. 13) states that the "The purpose of the framework for transparency of action is to provide a clear understanding of climate change action in the light of the objective of the Convention as set out in its Article 2, including clarity and tracking of progress towards achieving Parties' individual nationally determined contributions under Article 4, and Parties' adaptation actions under Article 7, including good practices, priorities, needs and gaps, to inform the global stocktake under Article 14." As defined by Article 14 of the Paris Agreement, the global stocktake entails that "The Conference of the Parties... shall periodically take stock of... the collective progress towards achieving the purpose of this Agreement and its long-term goals."

ate, included in the INDCs (1). The Paris Agreement (Art. 4.3) states that each country's NDC should go further than previous commitments to achieving the UNFCCC's ultimate objective of preventing dangerous climate change¹² (5). Thus, when countries ratify the Paris Agreement, they have the opportunity to revise their NDC, ensuring any revisions demonstrate a progression from their INDC¹³. If countries choose not to submit a revised NDC, their INDC becomes their first NDC.

The Paris Agreement is not explicit as to whether or not countries should include an adaptation component in their NDCs. However, Article 3 of the Paris Agreement refers to NDCs providing a global response to climate change by all countries, which should reflect their ambitions on mitigation, adaptation, finance, technology, capacity and transparency (5). More specifically, Article 7.9 suggests that countries must, as appropriate, engage in adaptation

planning processes and implementation, including the development or enhancement of relevant national adaptation planning processes, such as the NAP process (5). Moreover, Article 7.10 and 7.11 state that countries should periodically submit an adaptation communication to the UNFCCC as part of or alongside other communications or documents, such as a NAP document, NDC and/or national communication (5). Furthermore, Article 13.5 notes that the transparency framework should track progress towards achieving countries' NDCs and adaptation actions to inform the global stocktake¹⁴ (5).

2.2 The NAP process

In 2000 at COP6, experts were requested to draft guidelines for countries to prepare National Adaptation Programmes of Action (NAPAs),

BOX 1: Elements of the NAP process

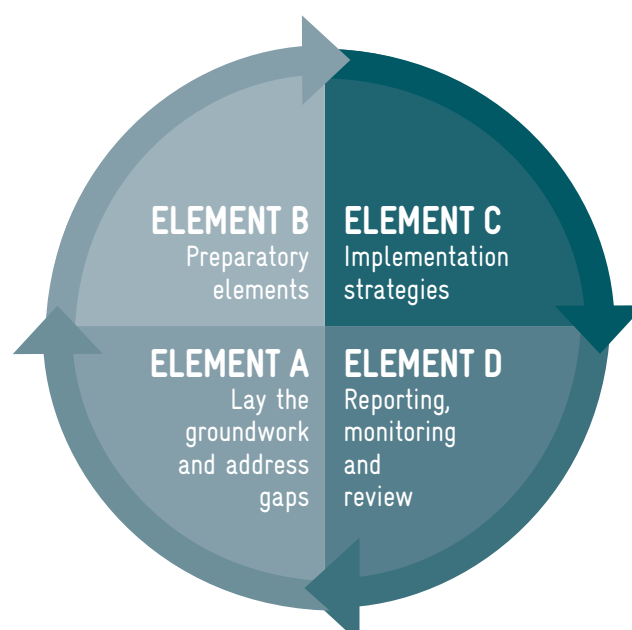
The LEG's technical guidelines for the NAP process (7) provide a common iterative approach that can be tailored to specific circumstances and contains the following non-prescriptive elements:

Element A: Lay the groundwork and address gaps, including identifying available information and addressing capacity gaps in undertaking the process.

Element B: Preparatory elements, including assessing vulnerabilities and identifying adaptation options.

Element C: Implementation strategies, including developing a national strategy and promoting synergies at the regional level.

Element D: Reporting, monitoring and review, leading to iterative updating of the NAP document.



recognising the special circumstances of LDCs, which are particularly vulnerable to the impacts of climate change (8). In 2001, LEG was established to support LDCs in their development of NAPAs (9). Subsequently, the first LDC submitted a NAPA to the UNFCCC in 2004¹⁵. Through NAPAs, LDCs were able to articulate their most urgent and immediate needs for adaptation. In 2010, the LEG's mandate was renewed at COP16 to provide further guidance on the NAPAs and assist LDCs to integrate adaptation into national planning processes (10).

COP16 agreed the institutional architecture for adaptation through the Cancun Adaptation Framework (CAF) (11) and highlighted that adaptation should be addressed with the same priority as mitigation. The CAF invited all countries to enhance action on adaptation by planning, prioritising and implementing adaptation actions identified in national and subnational adaptation plans and strategies, and other relevant national planning documents. It specifically established the NAP process to enable LDCs to build upon their experience in preparing and implementing NAPAs, identify medium and long-term adaptation needs, and develop and implement strategies and programmes to address those needs. The CAF also invited other developing countries to adopt the NAP process.

The objectives of the NAP process, as framed in 2011 at COP17, are to reduce climate change vulnerabilities by building adaptive capacity and resilience, and to facilitate the integration of climate change adaptation into development planning processes and strategies across all relevant sectors and levels. COP17 identified that the NAP process is a continuous, progressive and iterative process, which should follow a country-driven, gender-sensitive, participatory and fully transparent approach that takes account of vul-

nerable groups, communities and ecosystems (12). In 2012, the LEG published technical guidelines for the NAP process (7) (Box 1).

2.2.1 Climate finance for the NAP process

Articles 9.1 and 9.4 of the Paris Agreement require developed countries to provide financial resources to assist developing countries in undertaking mitigation and adaptation measures taking account of their country-driven strategies and priorities (5). The most notable source of international financial support for mitigation and adaptation is the Green Climate Fund (GCF), which was established under the Cancun Agreement (13). Through the Paris Agreement, the GCF was further instructed to expedite all financial assistance in support of developing countries wishing to formulate and implement their NAP processes (14). In June 2016, the GCF Board established the opportunity for countries to access up to USD 3 million per country through the GCF Readiness and Preparatory Support Programme for the formulation of NAP processes¹⁶ (15). Countries' NAP processes can also be financed through a range of other international and domestic options¹⁷.

¹⁵ Although NAPAs were originally only for LDCs, other developing countries also produced NAPAs.

¹⁶ Assessing needs for climate finance readiness. [The Climate Finance Reflection Tool – CliF Reflect](#).

¹⁷ The Climate Finance Readiness Programme (CF Ready) supports partner countries in accessing international funds and making effective use of climate finance. See also [Financing Strategies: A missing link to translate NDCs into action](#)

¹⁸ There are 197 Parties to the Convention; these include 196 countries and one Party, the EU; representing 28 countries. To date 165 INDCs have been submitted on behalf of 193 Parties to the Convention (192 countries plus the EU).

COUNTRIES' differing approaches to (I)NDCs

As of 17 May 2017, a total of 140 NDCs had been submitted (165 INDCs¹⁸) to the UNFCCC of which 104 NDCs (145 INDCs) included an adaptation component and 39 NDCs (55 INDCs) refer to the NAP process (16). Figure 1 highlights which countries included an adaptation component in their (I)NDCs.

Most of the 145 countries that had ratified the Paris Agreement and submitted their NDCs to the UNFCCC made little or no change to their adaptation components, although six countries (Argentina, Morocco, Belize, Indonesia, Mali and Nepal) updated them. Some countries kept the adaptation component the same, but changed its placement within the NDC. For example, Micronesia kept the same information, but moved the adaptation component from the annex to the main body of the NDC.

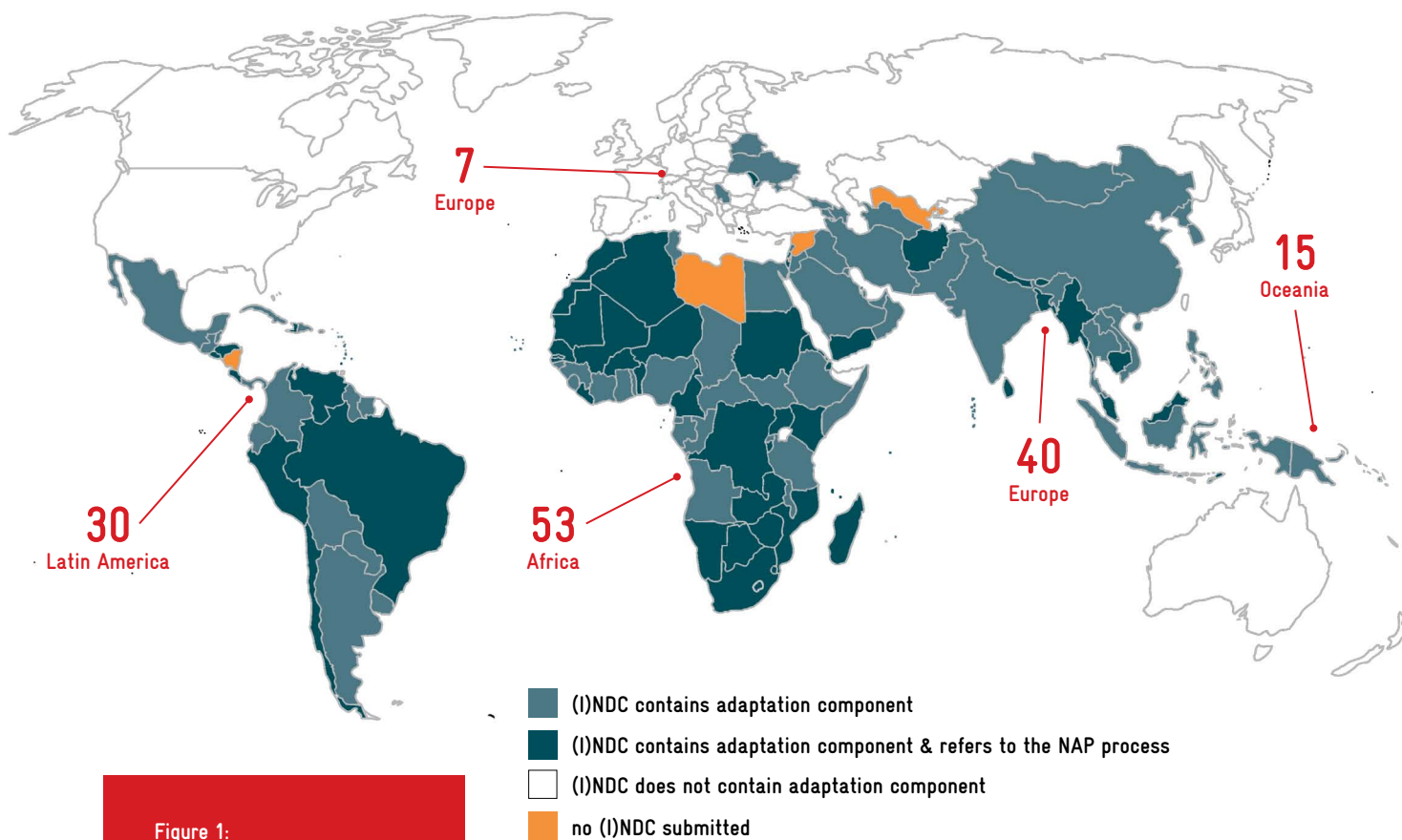


Figure 1:
Distribution of countries
that included an adaptation
component and referred to
the NAP process in their
(I)NDC (16)

SIDS: 38, LDCs: 48, Others: 59

BOX 2: Examples of countries' NDC adaptation components including past and future plans and actions

Peru (17)

The NDC adaptation component is based on the National Climate Change Strategy (revised 2009) and Regional Strategies, the Second National Communication (2010), and the Adaptation and Mitigation Action Plan against Climate Change (2010). It identifies intermediate objectives in relation to five priority sectors (water, agriculture, fisheries, forestry and health) and cross-cutting goals (disaster risk management, resilient public infrastructure, poverty and vulnerable populations, a gender and intercultural approach, and private investment in adaptation). These seek to ensure that by 2030 “Peru adapts to the adverse effects and takes advantage of the opportunities imposed by climate change.” The document also mentions that Peru is to begin formulating a NAP as the main instrument for complying with the NDC’s ambitions.

Viet Nam (18)

The NDC adaptation component describes past and ongoing adaptation actions. It also identifies adaptation gaps in institutional and policy arrangements, financing, human resource capacity and technology, and prioritises adaptation measures for the 2021-2030 period. Viet Nam’s overall aim is “to minimise the loss of life and property due to climate change.” The prioritised measures are focused on three themes: responding pro-actively to disasters and improving climate monitoring, ensuring social security, and responding to sea level rise and urban inundation.

This chapter sets out areas of convergence and divergence between (I)NDC adaptation components, noting that countries were not provided with any specific guidance as to the scope of how adaptation could be included in the INDCs.

The range of ways in which countries have approached which information to reference in (I)NDC adaptation components may reflect that, prior to the adoption of the Paris Agreement, it was unclear how the information contained within them might be used in and beyond the UNFCCC. Countries drafted their INDCs in a very short time. The INDCs were primarily political documents expressing contributions and were not necessarily conceived as planning documents. Thus, most INDCs do not include implementation strategies.

The Ad-hoc Working Group on the Paris Agreement (APA) is discussing the features of NDCs. Therefore, for countries that were trying to maintain political momentum post-Paris by proceeding with early ratification, it was almost impossible to update the adaptation content of their NDCs as it is not yet clear whether or not adaptation will continue to be part of these documents. The Paris Agreement (Article 7.12) provides for a public registry for adaptation communications (5); a separate registry (Article 4.12) is provided for NDCs (5). However, Article 4 relates to mitigation rather than adaptation. As such, countries are not yet sure of the features of future iterations of NDCs vis-à-vis adaptation communications.

3.1 Most adaptation components are forward-looking, setting out future adaptation plans and actions

More than 92% of NDC adaptation components (92% of INDCs) presented future plans and actions with 34% (34% of INDCs) also reporting on past plans that may not have been fully implemented and actions that had been completed (16). Of the 59% (61 NDCs, 84 INDCs) that focused solely on future plans and activities, 24 (37 INDCs) are from Africa, 14 (22 INDCs) from Asia, 12 (13 INDCs) from Latin America and the Caribbean, 8 (8 INDCs) from Oceania and 3 (4 INDCs) from Europe (16). Box 2 highlights how two countries used their NDCs to report on past and future plans and actions.

3.2 Most adaptation goals included in (I)NDCs are qualitative and may relate closely to national development goals

The adaptation goals included in 73% of NDC adaptation components (72% of INDCs) are wholly qualitative (i.e. include descriptions of adaptation objectives, actions or plans), while 15% (17% of INDCs) provide quantitative adaptation goals (i.e. include numerical objectives and/or key milestones for delivery) (16). The remaining 12% of NDC adaptation components (11% of INDCs) did not specify clear goals. Given the short time available for drafting these documents, it is likely that, in many cases, the quantitative goals were taken from pre-existing adaptation planning documents. Countries that only set qualitative adaptation goals in their NDCs include 28 (39 INDCs) from Africa, 23 (35 INDCs) from Asia, 15 (19 INDCs) from Latin America and the Caribbean, 8 (8 INDCs) from Oceania and 2 (3 INDCs) from Europe (16). Most NDC adaptation components largely remain unchanged, as compared to the INDCs. However, Morocco is an example of a country whose NDC quantifies adaptation goals that were previously presented qualitatively in the INDC.

It appears that many countries may have presented adaptation goals in (I)NDCs that relate to national

development, as all of the 10 countries whose INDCs were reviewed in more detail did so to varying extents. For example, Ethiopia's long-term adaptation goal as set in the NDC is to ensure that adaptation to climate change is fully mainstreamed into development activities and thereby contributes to an economic growth path that is resilient to climate change and extreme weather events. Countries have also linked adaptation goals in their (I)NDCs implicitly and sometimes explicitly to delivery of the Sustainable Development Goals (SDGs), as is the case for Malawi (see Box 3).

3.3 Presentation of implementation plans and/or actions varies between (I)NDCs

In general, (I)NDC adaptation components provide adaptation goals (i.e. the 'what') and make reference to existing national documents (including NAPs) or proposed programmes and projects for details of implementation plans to action those goals (i.e. the 'how'). Hence, (I)NDC adaptation components reflect countries' differing approaches to adaptation planning and implementation, as well as the variation in the level of detail that each country has chosen to include in its (I)NDC.

Some (I)NDC adaptation components summarise detailed vertical and/or horizontal implementation

BOX 3: (I)NDC adaptation components supporting the implementation of the SDGs – Malawi

“Above all, the INDC has provided an opportunity to enhance the implementation of Malawi’s sustainable development goals as articulated in its national developmental agenda.” (19)

The INDC notes that Malawi's National Climate Change Management Policy will have an overall goal “to promote climate change adaptation and mitigation for sustainable livelihoods through measures that increase levels of knowledge and understanding and improve human well-being and social equity, while pursuing economic development that significantly

reduces environmental risks and ecological scarcities.” The INDC adaptation component identifies priority sectors and thematic areas based on national development priorities and those identified as vulnerable by their NAPA – agriculture (crops, livestock, fisheries), water resources, health, infrastructure, land-use planning, transport, population and human settlements, disaster risk management, forestry, wildlife, energy and gender.

plans. For example, South Africa has presented various goals that are each associated with plans aligned to its NAP process, and India has listed all of the initiatives and actions it is undertaking in each sector with an associated plan. Other countries have chosen to present adaptation actions or activities and only referred to implementation plans, strategies or roadmaps without detailing them in the (I)NDC. For instance, Vanuatu has presented the priority actions from the NAPA¹⁹ (20), and the Vanuatu Climate Change and Disaster Risk Reduction Policy (CC&DRR, 2016-2030). Togo's INDC states that its approach to adaptation involves implementing a portfolio of measures and projects that relate to its advanced NAP process with a timetable for implementation presented in an annex. There are countries (e.g. Ethiopia) that present implementation plans and actions in their (I)NDC, which may be indicative

of more advanced national adaptation planning and coordination. Hence, countries may not only vary in the extent to which they are engaged in planning and implementing adaptation actions, but also in their perceptions of what it is useful to communicate in (I)NDCs.

3.4 Presentation of adaptation costs and requests for international support varies considerably between (I)NDCs

The extent to which the costs of adaptation actions²⁰ were included in (I)NDCs varies greatly between countries. Estimated adaptation costs are provided in 34% of all NDCs (34% of INDCs) that included adaptation (16). Figures and methodologies vary greatly from country to country. For example, there are differences in whether countries separate mitigation and adaptation costs, and in the number and type of sectors included in the costing estimates (16).

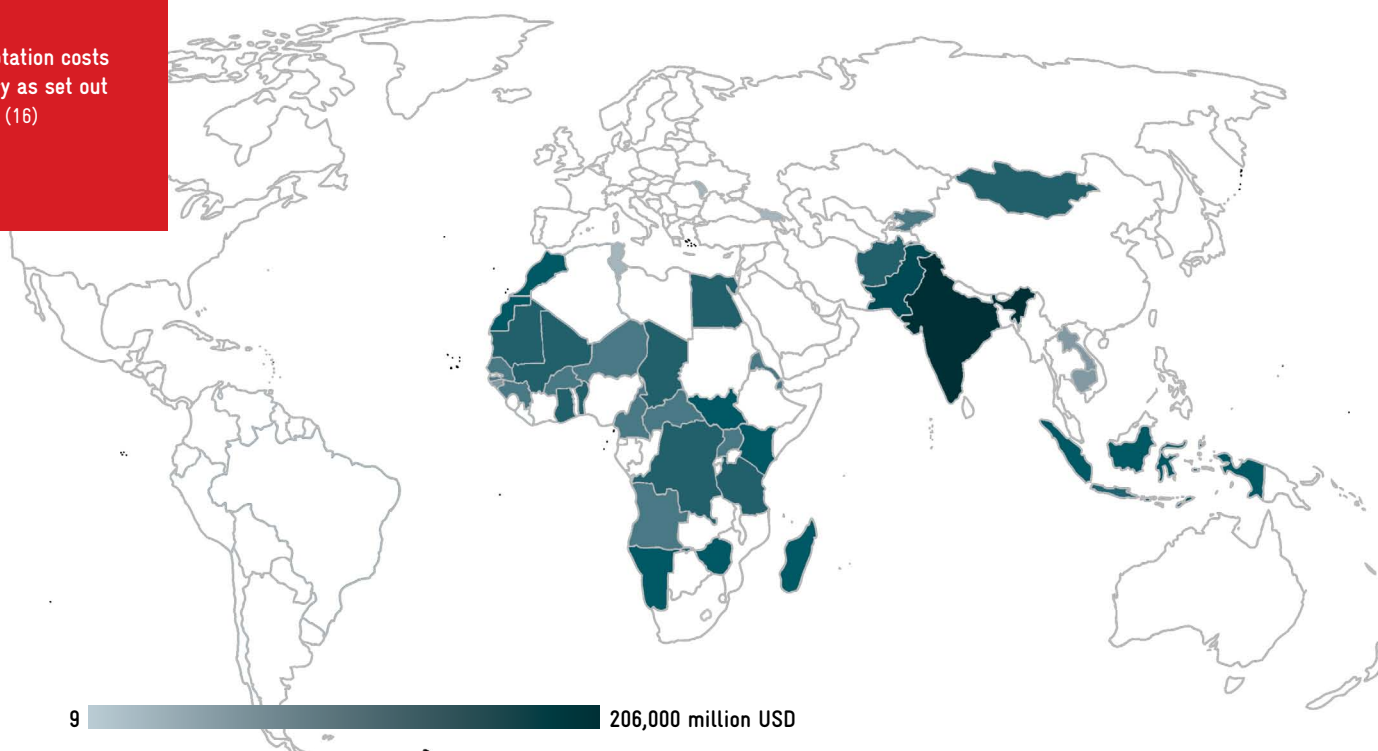
Total adaptation costs specified in NDCs are USD 140,527 billion with USD 19,011 billion in international support requested (16).²¹ Countries that specified adaptation costs and/or international financial support requirements are shown in Figure 2 and Figure 3. It

¹⁹ The Subsidiary Body for Implementation on its forty-fourth session recognised “the importance of the full implementation of [NAPAs] for addressing urgent and immediate adaptation needs”, in addition to “building capacity for medium- and long-term adaptation planning and implementation” (para 75, UNFCCC (2016) SBI 44)

²⁰ Adaptation costs refer to the IPCC AR4 definition presented in the NAP technical guidelines: “Costs of planning, preparing for, facilitating and implementing adaptation measures”

²¹ Total adaptation costs specified in INDCs are USD 126,551 billion with USD 39,009 billion in international support requested.

Figure 2:
Total adaptation costs
per country as set out
in (I)NDCs (16)



9

206,000 million USD

should be noted that some countries specified adaptation costs without requesting international support and vice versa. Figure 2 highlights the scale of total estimates presented by countries that specified adaptation costs in their (I)NDC. Figure 3 illustrates the scale of international financial support requested by countries to implement their (I)NDC adaptation component.

Examples of estimated needs for adaptation finance included in NDCs are described in Box 4. In total, 8% of NDC adaptation components (9% of INDCs) do not state whether or not the adaptation actions identified in the NDC are conditional on the receipt of international support (16) (Figure 4). However, at least 69% of NDCs (69% of INDCs) have presented partially conditional adaptation actions (16). Only one country (Brazil) explicitly states that adaptation actions are unconditional (i.e. not dependent on international support). Notably Bhutan, Cabo Verde, Central African Republic, Kiribati, Myanmar, Nepal, St Kitts and Nevis, Uruguay and Yemen are the only countries that use their (I)NDC adaptation component to request support specifically for undertaking their NAP process.

BOX 4: Examples of estimated needs for adaptation finance included in NDCs

Bangladesh (21)

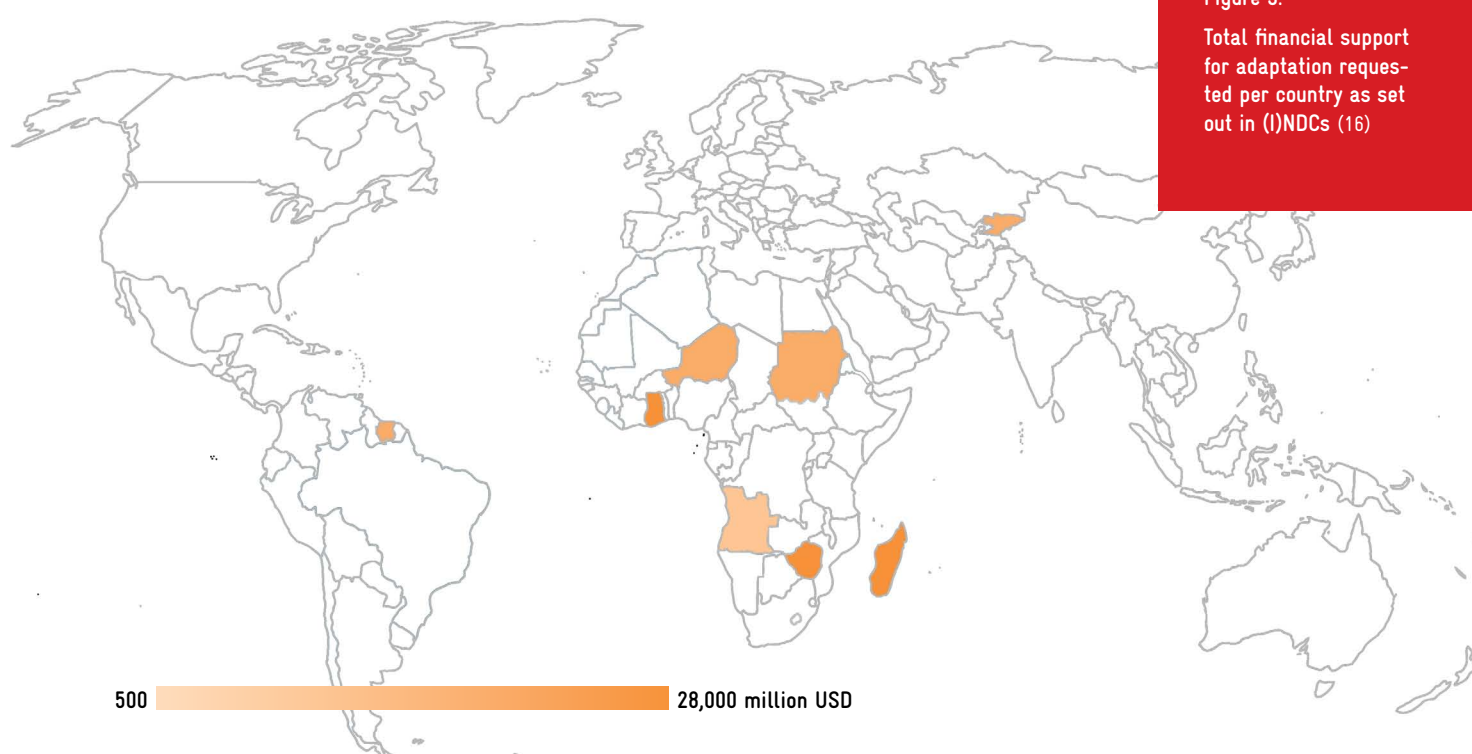
estimates that USD 42 billion will be needed between 2015 and 2030 to implement adaptation measures as set out in the NAPA, Bangladesh Climate Change Strategy and Action Plan, NAP roadmap and 7th Five Year Plan.

Morocco (22)

estimates that between 2005 and 2010 it channeled 64% of all climate-related spending in the country to adaptation, particularly in the water sector, which represents 9% of overall investment expenditure. It also estimated that between 2020 and 2030, a minimum of USD35 billion will be needed to implement adaptation projects in the sectors most vulnerable to climate change (water, forestry and agriculture).

Jordan (23)

provided detailed financing needs for some sectors included in its NDC totalling over USD 4 billion.



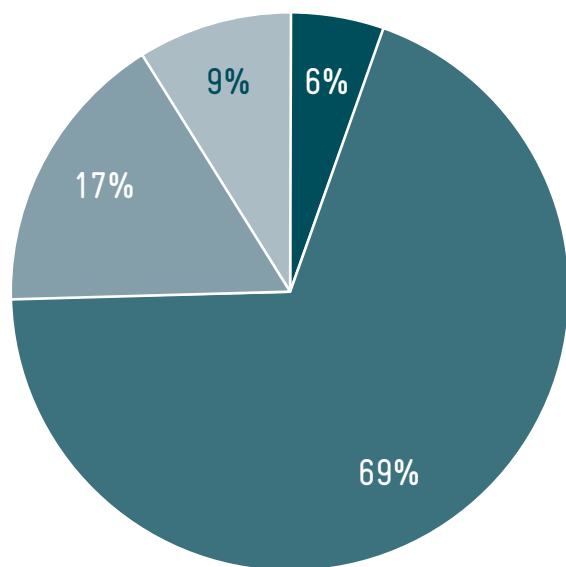


Figure 4:

Proportion of (I)NDCs which specify that adaptation actions are conditional on receiving international support²² (16)

- completely unconditional on international support
- partially conditional on international support
- completely conditional on international support
- no (clear) statement on conditionality

3.5 Not all (I)NDCs cover 'enhanced' adaptation actions

Establishing the new global goal on adaptation by the Paris Agreement (Art. 7.1) has highlighted the need to enhance adaptive capacity, strengthen resilience, reduce vulnerability to climate change and contribute to sustainable development (5). In particular, the Paris Agreement (Art. 7.7) refers to enhanced adaptation action²³ (5) in terms of:

- *sharing information, lessons learnt and experiences gained;*
- *strengthening institutional systems that support the generation and synthesis of knowledge and information;*
- *strengthening scientific knowledge on climate research and climate impacts data to better inform climate services and decision-making;*
- *strengthening support to developing countries on national adaptation planning processes;*
- *improving the effectiveness and durability of adaptation options.*

BOX 5: Examples of 'enhanced adaptation action' presented in NDCs

Ghana

"The long-term goal of Ghana's adaptation is to increase climate resilience and decrease vulnerability for enhanced sustainable development." (25)

Kenya

"(...) will ensure enhanced resilience to climate change towards the attainment of Vision 2030 by mainstreaming climate change adaptation into the Medium Term Plans and implementing adaptation actions." (26)

Enhancing action on adaptation is a central achievement under the Paris Agreement. However, it is not reflected by many INDCs and most countries that have ratified the Agreement have not substantially revised their NDC adaptation component. Nevertheless, 74 NDCs (104 INDCs) do refer to 'enhanced actions' and technical guidance on options for enhancing adaptation action has also since been published to support countries' decisions in this regard (24). Specific examples of how countries have referred to enhanced adaptation action are provided in Box 5.

²² This pie-chart is for (I)NDCs, as the conditionality of adaptation actions in the NDCs remains unchanged from the INDCs.

²³ The Paris Agreement (Article 7.7) refers to 'enhancing adaptation action' with reference to the Cancun Adaptation Framework.

3.6 Sectoral coverage focuses on agriculture, water and health sectors

Where NDC adaptation components include sectoral detail, countries have either listed their priority sectors or, less commonly, their most vulnerable sectors based on vulnerability assessments. Agriculture, water, and health are the sectors featured most frequently (each mentioned by 56-74 NDCs (81-109 INDCs)) (16). Sectors highlighted least frequently are finance and insurance, education and waste (each mentioned in less than 9-19 NDCs (13-28 INDCs)) (16). Sectors relating to environmental management are prominent, including coastal protection, forestry and biodiversity/ecosystems. Other sectors listed include energy, human settlement and land management, infrastructure and transport, disaster risk reduction (DRR), fisheries, food security and tourism. However, the Food and Agriculture Organisation of the United Nations (FAO) has noted that NDCs do not necessarily summarise countries' adaptation priorities and ambitions comprehensively.

3.7 Most (I)NDC adaptation components refer to national or regional policy documents and processes, including the NAP process

The UNFCCC report released in October 2016 on progress in the process to formulate and implement NAPs indicates that 85 developing countries, including 45 LDCs, have embarked on the NAP process (2), and 55 countries mention the NAP process in their (I)NDCs (16). However, as of 17 May 2017, only seven countries (Brazil, Burkina Faso, Cameroon, Kenya, Sri Lanka, State of Palestine and Republic of Sudan) have submitted a NAP document to UNFCCC NAP Central (27). The latter two countries have not yet submitted an NDC (at the time this study was written). The other five countries mention in their NDCs that the NAP process has started. Many countries are still laying the groundwork (Element A) for the NAP process. Relatively few countries are progressing preparatory elements (Element B), as many countries have expressed a need

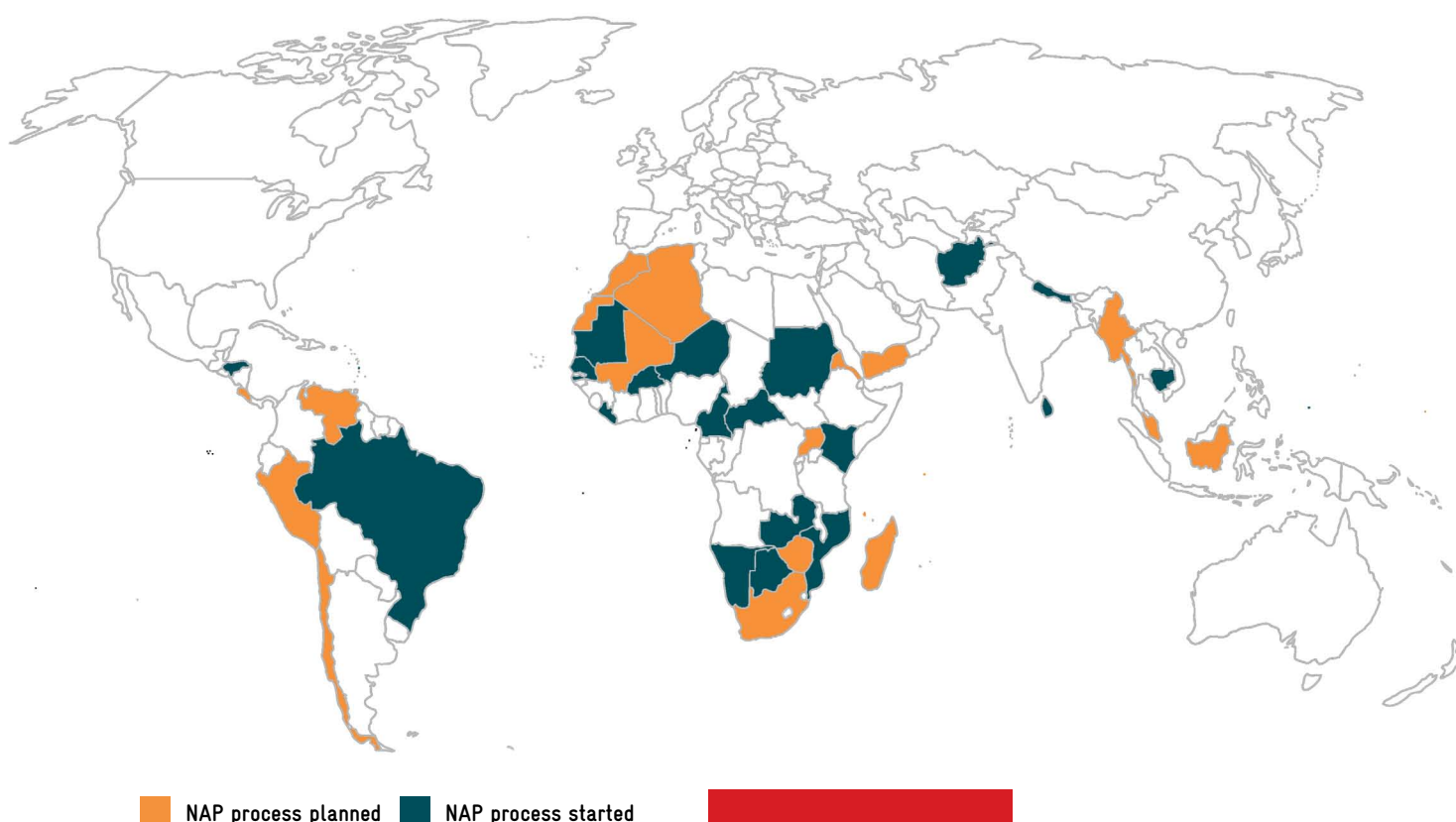


Figure 5:
(I)NDCs that refer to
the NAP process (16)

for external support to undertake comprehensive, science-based vulnerability and impact assessments. Most countries are far from developing implementation strategies (Element C) (2).

In total, 91% of NDC adaptation components (88% of INDCs) refer to national or regional climate strategic documents and processes, including NAPAs and national adaptation planning (such as the NAP process, which is mentioned in 38% of NDCs (38% of INDCs)) (16). The in-depth review of 10 countries' (I)NDCs revealed that national documents referenced include frameworks on climate change, environmental policies that incorporate climate change, climate change legislation, climate change strategies and national development plans. Some countries also presented sub-national climate change documents, including action plans or strategies at state, municipality or city level.

Of the 55 countries' (I)NDCs that mention the NAP process, 28 note that the NAP process has commenced and 27 state that the NAP process will start by 2020 (Figure 5). However, (I)NDC adaptation components do not necessarily reflect all ongoing adaptation planning, including NAP processes. For example Malawi, which initiated its NAP process in 2014, decided to focus its adaptation component (19) solely on adaptation measures with reference to national development priorities and sectors, and only cited its current climate change policy framework and NAPA. Some (I)NDCs also specifically mention that countries are mainstreaming or integrating adaptation into their national or sectoral plans, policies or programmes that, in some cases, also define their adaptation priorities and, therefore, encompass many features of the NAP process (28).

3.8 (I)NDC adaptation components are not operational plans and may not reflect all monitoring and evaluation being undertaken

Reporting, monitoring and review form one of the four elements of the NAP process. Of the 55 NDCs (39 INDCs) that mentioned a NAP process had started or was planned, 15 INDCs (9 NDCs) specifically mention monitoring and evaluation of adaptation (16):

- *Africa: Benin, Burkina Faso, Comoros, Democratic Republic of the Congo, Lesotho, Mauritania, Morocco, Mozambique, Seychelles, South Africa, Zimbabwe;*
- *Asia: Bangladesh;*
- *Latin America: Chile, Colombia;*
- *Europe: Moldova.*

In general, (I)NDC adaptation components do not provide details of monitoring and evaluation of adaptation action. However, this may not mean that it is not occurring in practice. As noted in Section 3.1.3, in general, the (I)NDC adaptation components provide adaptation goals and make reference to existing national documents for details of implementation plans to action those goals. While it may be difficult to develop indicators for general adaptation goals, monitoring and evaluation is likely to be in place for many of the existing plans to which (I)NDCs refer. For example, the NDC²⁴ for Bangladesh notes that “...monitoring and evaluation of adaptation policies and programmes is crucial” (21) without providing further details. However, an interview with the government revealed that major projects are monitored by implementing ministries or agencies, the Bangladesh Climate Change Trust, and local administrations. It was also revealed that links between policy and implementation of development works is an ongoing challenge. Similarly, South Africa's NDC does not mention monitoring and evaluation of the NDC's adaptation component. However, an interview with the government identified that the Department of Environmental Affairs has a Climate Change Monitoring and Evaluation Unit that develops annual and biennial reports addressing climate change mitigation and adaptation. Some countries noted that further capacity building and/or financial support for monitoring and evaluation is required to enable effective planning and implementation of adaptation policies (e.g. Lebanon).

²⁴ Several countries were still to put their first NDCs forward at the time that their representatives were interviewed. As some of these countries have since done so, for accuracy purposes, provided the content has not changed, this document refers to the country's first NDC.

3.9 A number of (I)NDCs highlight mitigation and adaptation synergies and co-benefits

The NAP process seeks to facilitate the integration of climate change adaptation into development planning processes and strategies across all relevant sectors and levels. Hence, an important facet of the NAP process is that it encourages the identification of synergies and co-benefits between mitigation and adaptation actions during the preparatory elements, including climate proofing of all mitigation activities. Potential synergies and co-benefits between mitigation and adaptation are mentioned in 68 NDCs (98 INDCs) (16). For example, Lebanon's INDC notes that *"Climate change mitigation and adaptation policies provide many synergies and therefore call for a coordinated approach."* (29)

Some (I)NDCs provide broad statements that infer that the countries will capitalise on any synergies and co-benefits that may arise from mitigation or adaptation actions. For example, Sri Lanka's NDC states that the country is committed to *"make extra efforts to build synergies between adaptation and mitigation while capitalising on mitigation co-benefits of adaptation actions"* (30) and Mongolia's NDC states that *"Some adaptation activities under [the adaptation] goals will also have mitigation co-benefits."* (31)

Some (I)NDCs state that the identification of synergies and co-benefits has implications for prioritisation of actions. Saudi Arabia's NDC sought to delineate between adaptation measures that have mitigation co-benefits and those adaptation measures that *"are entirely aimed at adaptation and raising resilience"*, while also stating that *"adaptation measures can also contribute to economic diversification."* (32) Togo's INDC states that it has defined its national priority as *"the development and implementation of an adaptation strategy and options that would have an impact on the mitigation scenarios, in terms of co-benefits."* (33)

Some (I)NDCs detail specific actions that lead to synergies and co-benefits. For example, synergies highlighted by Costa Rica's NDC include the consolidation of a payment for ecosystem services programme with a forest certification programme as a means of reducing emissions through avoided de-

forestation and effectively protecting water sources. Ghana's NDC identifies co-benefits of mitigation options in relation to sustainable development objectives. While these are not explicitly linked to the adaptation component, co-benefits can be inferred where they relate to its priority areas (e.g. agriculture, forest resources and water management)²⁵. Saudi Arabia identifies specific adaptation measures relating to water and wastewater management, urban planning, marine protection and reduced desertification, which are expected to have significant mitigation co-benefits. Burundi identifies the need to improve agricultural and livestock production activities including through use of renewable energy sources.

3.10 Approaches to coordinating (I)NDC developments and the NAP process vary between countries

The in-depth review of 10 countries' (I)NDC adaptation components and interviews with six countries' national leads on adaptation revealed that countries approached the institutional arrangements for preparing INDCs in different ways. There are some cases where close coordination was achieved through the same ministry being responsible for coordinating work on the INDC and the NAP process (e.g. Vanuatu and Peru). In other cases, the ministry responsible for developing the INDC was also closely involved in committees associated with the NAP process or vice versa (e.g. South Africa, Togo and Grenada).

²⁵ Co-benefits from the mitigation policy actions that link to adaptation include: biodiversity conservation, reduced deforestation and degraded lands, and food security/sustainable agriculture.

BOX 6: Benefits of including adaptation in (I)NDCs

Interviews with national and international stakeholders have revealed a range of benefits arising from including adaptation components in (I)NDCs. These benefits could be reinforced by linking formulation and implementation of NDCs with the NAP process: According to the NAP Global Network and NDC Partnership aligning their global and in-country efforts for enhanced adaptation action is key for facilitating linkages between NAP and NDC. Both initiatives assist countries in the planning and implementation of adaptation goals through knowledge exchange and increased coordination at national and global level.

1. The profile of adaptation has been raised to a level comparable with that for mitigation with benefits nationally and internationally. Experts from international organisations noted that by committing to mitigation actions, countries have also gained recognition for adaptation – as evidenced by adopting the global adaptation goal and including adaptation in the Global Stocktake. Raising the profile of adaptation is accelerating its progression and its communication, as part of the Paris Agreement, and should help to maintain momentum. 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.

"Jordan's priority is adaptation rather than mitigation. The Paris Agreement and NDC process will allow Jordan to give more weight to its focus on adaptation for the first time."

(Director of the Ministry of Environment's Climate Change Directorate, Jordan)

2. Including adaptation components in (I)NDCs has strongly highlighted co-benefits arising from adaptation, mitigation and development. In Bangladesh, in addition to prioritising those adaptation activities that fit with growth priorities highlighted in its national development plans, the NDC prioritised those adaptation activities with significant mitigation co-benefits and sought to minimise the carbon footprint of the adaptation portfolio as a whole.

"It is important that any future development of NDCs recognises that adaptation is the main driver for developing countries, which can enhance mitigation ambitions."

(Director of the Ministry of Environment's Climate Change Directorate, Jordan)

3. The process of developing INDC adaptation components has promoted communication and coordination nationally. The USAID noted that national awareness of the benefits of coordinating measures to address climate vulnerabilities has increased in its beneficiary countries as a result of the development of INDCs. Improved coordination of national priorities has encouraged synergies between adaptation and mitigation. GIZ highlighted that until Vanuatu developed its INDC, the country had not needed to draw together the big picture for adaptation and different stakeholders had mostly been 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, countries now recognise that linking NDCs and the NAP process contribute to the implementation of the Paris Agreement. The NDC is a reference document that can provide a country with a helpful voice. The NAP process is focused on operational planning and identifies needs for technical, capacity and financial support. While Bangladesh's INDC was developed during 2015 and only contains five out of 15 pages on adaptation, the country's comprehensive NAP process has been long-term, rigorous and stakeholder led.

OPPORTUNITIES AND CHALLENGES

of linking the NAP process and NDCs

Key opportunities and challenges for formulating, revising and implementing NDC adaptation goals through the NAP process that are supported by the review of (I)NDC adaptation components and were highlighted by national and international stakeholders relate to expertise and guidance, governance and coordination, finance and transparency. These opportunities and challenges are summarised in Table 1 and described further below.

4.1 Expertise and guidance

- ✓ ***The NAP process, and expertise and guidance developed for it can be used in implementing and developing NDC adaptation goals.*** For example, in Vanuatu, where the NAP process is not yet underway, implementation of the NDC adaptation component is anticipated to provide a start to the NAP process and additional discussions on loss and damage – with the NAP document to be produced as the strategy and implementation plan for the NDC's adaptation component.

4.2 Governance and coordination

- ✓ ***Implementing or developing NDC adaptation goals through the NAP process can promote political ownership, policy coherence and clarity on national priorities by increasing institutional coordination and stakeholder collaboration.*** Although Togo has a NAP process that is well advanced, development of the NDC's adaptation component has further increased stakeholder awareness of the impacts of climate change and potential measures required to address them. In Vanuatu, the NDC reflects the country's CC&DRR Policy, and the NAP process is intended to define NDC implementa-



Table 1: Opportunities and challenges of linking countries' NAP processes and NDCs

Opportunities	Challenges
Expertise and guidance <ul style="list-style-type: none"> ✓ The NAP process, and expertise and guidance developed for it, can be used in implementing and developing NDC adaptation goals. 	
Governance and coordination <ul style="list-style-type: none"> ✓ Implementing or developing NDC adaptation goals through the NAP process can promote political ownership, policy coherence and clarity on national priorities by increasing institutional coordination and stakeholder collaboration. ✓ Avoiding duplication of effort can ensure the most efficient use of limited capacities and resources. 	<ul style="list-style-type: none"> ✗ Even if NDC implementation and NAP processes are aligned, political ownership of and commitment to enhanced adaptation actions may be challenging to maintain. ✗ Policy coherence can be challenging to promote due to the potentially competing priorities of different sectors, institutions and stakeholders.
Finance <ul style="list-style-type: none"> ✓ Implementing and developing NDC adaptation goals through the NAP process has the potential to mobilise greater finance for adaptation, as it could increase the ownership of a country's adaptation goals and be possible for future NDC-related funding²⁶ to be directed towards NAP implementation. ✓ On the other hand, it could also access funding available for the NAP process for the implementation of NDC adaptation goals. ✓ 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 	<ul style="list-style-type: none"> ✗ Mobilising sufficient funding for national adaptation action is a challenge.
Transparency <ul style="list-style-type: none"> ✓ Implementing and developing NDC adaptation goals through the NAP process can support improved national monitoring and evaluation, and reporting systems. ✓ Avoiding duplication of effort can ensure the most efficient use of limited capacities and resources. 	<ul style="list-style-type: none"> ✗ Monitoring and evaluation, and reporting capacities are limited at the national level.

²⁶ Progress in the development of NDC-related funding streams can be tracked on the [NDC Partnership](#) website.

tion in terms of 'what, where, when, how, by whom and how much'. Furthermore, in Morocco, using the NAP process as the basis for developing the NDC adaptation goals for the next update is seen as an opportunity to improve cross-ministerial coordination on adaptation and develop adaptation expertise at the national level. In Jordan and South Africa, policy coherence will be promoted by the NDC being updated with a comprehensive set of adaptation actions and associated financial needs, to be identified through the NAP process. FAO also sees an opportunity for countries to focus on priority setting; taking account of political, practical and cross-sectoral issues; and data availability.

- ✓ **Avoiding duplication of effort can ensure the most efficient use of limited capacities and resources.** USAID noted that some (I)NDC adaptation components do not mention well-developed NAP processes and that the risk of not linking them is that the lack of coordination not only causes confusion over national priorities but also creates twice the amount of work. Using the NAP process to inform implementation and development of NDC adaptation goals negates any need to create parallel processes. Therefore, it is seen by countries, such as Morocco, as an opportunity to capitalise on resources and avoid duplication of efforts.
- ✗ **Even if NDC implementation and NAP processes are aligned, political ownership of and commitment to enhanced adaptation actions may be challenging to maintain.** For example, USAID perceived that sometimes the team leading the NAP process may not have the political authority to bring all relevant stakeholders involved in implementation and development of NDC goals to the same table. Morocco highlighted that mobilising high-level political buy-in should be undertaken as part of laying the ground for using the NAP process to further development of the NDC. UN Environment and USAID noted that there is a risk that countries may view NDCs and NAPs as documents that have to be produced for the international community (i.e. as an end in themselves) rather than ensuring their use in a coherent and efficient manner to enhance adaptation action and build countries' climate resilience.

BOX 7: A climate investment plan can further NDC implementation through the NAP process

The development of a country climate investment plan can serve to finance the implementation and development of NDC adaptation goals through the NAP process. A climate investment plan sets out the programme of investments required, strategically matching financing needs to funding sources and containing financing propositions for individual projects. This can include addressing the enabling environment for policy implementation and private sector engagement.

- ✗ **Policy coherence can be challenging to promote due to the potentially competing priorities of different sectors, institutions and stakeholders.** According to Togo, sectoral stakeholders need to be mobilised towards the same vision, and not all key stakeholders agree that adaptation and development can go hand-in-hand. In Vanuatu, governance and institutional reform may be required to enable multi-stakeholder engagement. FAO noted that the NDC and NAP focal points are usually not the same ministries. Therefore, it is important for them to identify effective and efficient ways to share information and secure inputs from all relevant stakeholders. For example, this is seen as potentially challenging in Vanuatu where previous development programming was largely undertaken through individual sector agencies working alone.

4.3 Finance

- ✓ **Implementing and developing NDC adaptation goals through the NAP process has the potential to mobilise greater finance for adaptation, as it could increase the ownership of a country's adaptation goals and be possible for future NDC-related funding to be directed towards NAP implementation.** Togo highlighted that linking NDCs with the NAP process could increase the

credibility of a country's adaptation goals and, along with Morocco, noted that it could increase the likelihood of attracting finance. Morocco highlighted how linking NDCs with the NAP process could increase support to existing budgets and facilitate the implementation of adaptation actions if developed countries indeed deliver their financial promises.

- ✗ **Mobilising sufficient funding for national adaptation action is a challenge.** For example, Jordan considers the process of securing financial resources as challenging and complex. Togo identified specific capacity and knowledge gaps in relation to developing commercially viable projects. USAID advised that:

- it seems likely that countries' expectations of funding from the GCF may exceed the total sum of money available;
- countries should engage in the development of climate investment plans considering multiple sources of finance – from domestic public investment, private sector investments, bilateral development assistance and multilateral assistance.

Linking the implementation and development of NDC adaptation goals through the NAP process with a climate investment plan can help to make most efficient use of limited resources and leverage additional funding sources (see Box 7).

ticipated to improve access to climate change data (which can support iterative learning and capacity building).

- ✓ **Avoiding duplication of effort can ensure the most efficient use of limited capacities and resources.** For example, Togo highlighted how the monitoring and evaluation system developed as part of its NAP process can be used for NDC implementation. FAO also identified a need to streamline adaptation communications (e.g. by reporting through existing channels), set adaptation baselines and standardise reporting indicators to measure progress on adaptation.
- ✗ **Monitoring and evaluation, and reporting capacities are limited at the national level.** For example, Bangladesh identified that monitoring and evaluation capacities needed to be improved with respect to assessing the effectiveness of policy implementation. FAO noted a need to increase capacities and knowledge with respect to accessing climate data, including information technology capabilities.

4.4 Transparency

- ✓ **Implementing and developing NDC goals through the NAP process can support improved national monitoring and evaluation, and reporting systems.** For example, it was noted in relation to Vanuatu that the Paris Agreement increases countries' international reporting obligations. To enable this, national reporting systems are expected to be enhanced accordingly, which could be facilitated by linking the NAP process with NDC implementation. South Africa noted that when the NDC is reviewed, consideration will be given to how the NAP process has helped to deliver the NDC and how it can be used to inform development of the next NDC. In Morocco, linking the NAP process to NDC implementation is an-

PRACTICAL IMPLICATIONS

for how the NAP process and NDCs can be linked

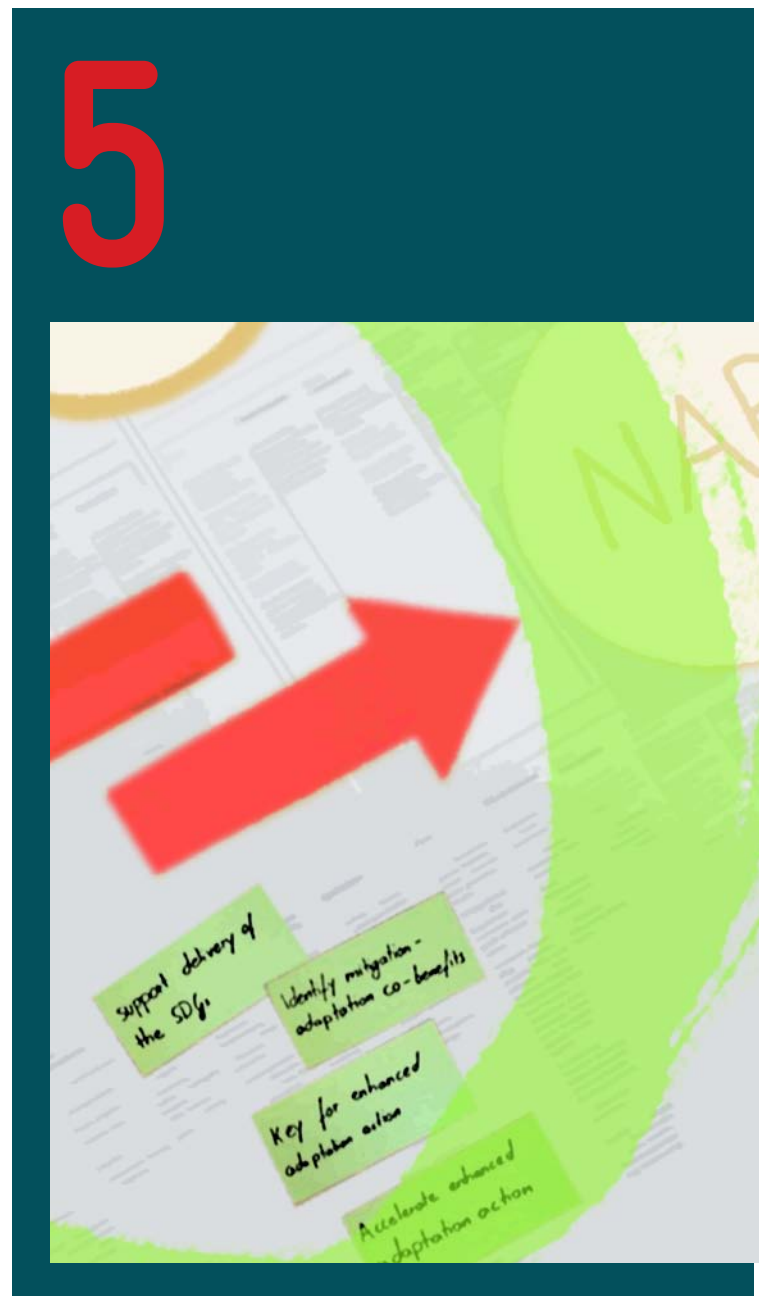
Interviews with national leads on adaptation and experts from international organisations have revealed a range of views on the benefits of including adaptation in (I)NDCs (see Box 6) and opportunities presented by linking the NAP process with NDCs (as set out in Chapter 4). All interviewees considered it desirable to link implementation and development of NDC adaptation components with the NAP process to inform and reinforce each other, irrespective of the current extent of countries' NDC adaptation components or degree to which they have progressed the NAP process. In addition, given that 104 out of 140 NDCs (145 of 165 INDCs) included an adaptation component, it is likely that most countries would support linkages between NDCs and the NAP process. However, notably, Albania made a case for focusing the NAP process on adaptation and NDCs on mitigation. Hence, to reflect the range of possible views, this chapter provides two options for linking the NAP process with NDCs (note that further options are possible by combining different elements of these approaches):

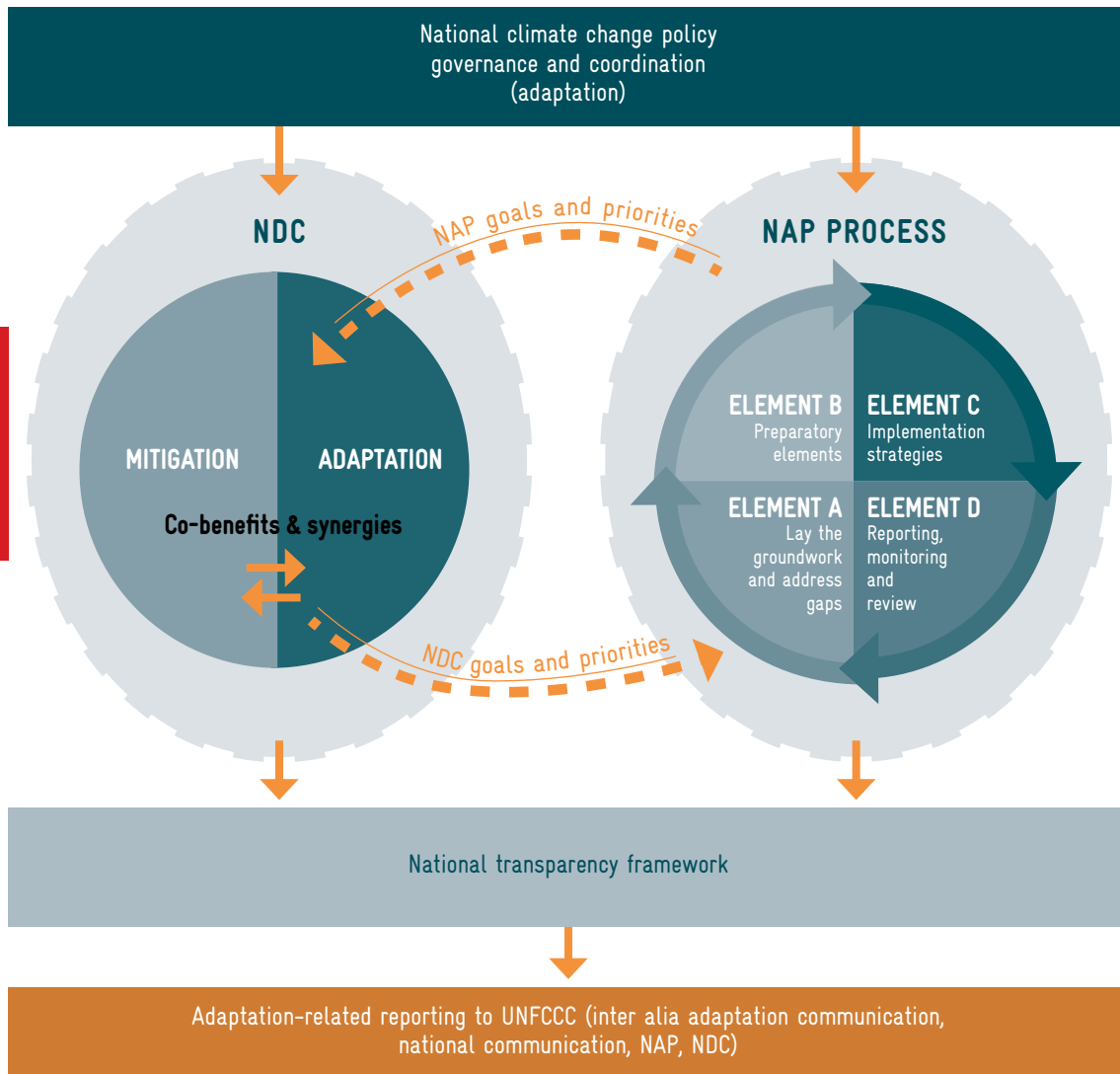
- *a mutually supportive NAP process and NDC (maximising potential opportunities for linkages);*
- *linking the NAP process to a mitigation-focused NDC (minimising potential opportunities for linkages).*

The practical implications of both options are outlined below for countries to consider before deciding how to progress from their current position.

5.1 A mutually supportive NAP process and NDC

Figure 6 illustrates possible linkages between a mutually supportive NAP process and NDC, including im-





plications for national climate change policy governance and coordination, national transparency frameworks and adaptation-related reporting to the UNFCCC.

5.1.1 Governance and coordination

Assessment of the (I)NDC adaptation components and interviews with national and international stakeholders have revealed that the line ministries responsible for developing NDCs and the NAP process may be different. As noted by Morocco, linking the NAP process to the formulation and implementation of an NDC adaptation component creates an “*opportunity to improve ministerial coordination on adaptation*” to create a unified governance structure. For enhanced implementation, this could ensure that groundwork for the NAP process (Element A) takes

due account of the NDC goals and priorities, as well as any potential associated synergies and co-benefits of mitigation for adaptation. Similarly, it could mean that preparatory elements of the NAP process (Element B), most notably goals and priorities from the NAP document itself, could appropriately inform identification of the NDC adaptation component or its development. It could also inform any potential associated synergies and co-benefits of mitigation for adaptation and vice versa. Co-benefits are usually viewed as relating to the benefits of adaptation actions for reducing greenhouse-gas emissions (e.g. afforestation, sustainable agriculture) or vice versa. Synergies facilitated by developing a mutually supportive NAP process and NDC potentially span the full range of issues summarised by the benefits of including adaptation in (I)NDCs described in Box 6 and opportuni-

ties presented by linking NDCs to the NAP process, as described in Chapter 4 (i.e. in relation to governance, finance and transparency). For example, implementing and developing NDCs through the NAP process could support a more strategic and effective approach to securing climate finance for NDC implementation and the NAP process.

5.1.2 National transparency framework and adaptation-related reporting

As noted in Chapter 2, Articles 7.10 and 7.11 of the Paris Agreement identify that countries should periodically submit an adaptation communication to the UNFCCC as part of or alongside other communications or documents, such as a NAP, NDC and/or national communication²⁷ (5). The APA continued discussions at COP22 on further guidance in relation to linkages between adaptation communications and other arrangements under the UNFCCC, such as NAPs, NDCs and national communications. Although Article 7 of the Paris Agreement specifically identifies that the need to submit an adaptation communication should not create any additional burden for developing countries, it is clear that some countries are concerned, as noted with regard to Vanuatu in Chapter 4. As such, harmonising governance structures and creating a mutually supportive NAP process and NDC could potentially enable streamlining of a countries' transparency framework and efforts to prepare NDC updates, national communications and adaptation communications.

5.1.3 Linking the NAP process to a mitigation-focused NDC

Figure 7 illustrates possible linkages between the NAP process and an NDC focused on mitigation, including implications for national climate change policy governance and coordination, national transparency frameworks and adaptation-related reporting to the UNFCCC.

5.1.4 Governance and coordination

Focusing NDCs on mitigation would mean that, in countries where mitigation and adaptation policies

are designed, implemented and monitored separately, this would be likely to continue. However, to support enhanced implementation, timely information exchange on mitigation-adaptation co-benefits, and synergies between the NAP process and NDC update and implementation, may be useful. Potential adaptation co-benefits of mitigation actions arising from NDC goals and priorities could be considered during the groundwork for the NAP process (Element A). Similarly, any potential associated mitigation co-benefits of adaptation arising from preparatory elements of the NAP process (Element B), could inform NDC update and implementation (noting that a NAP or NAP-like document itself would be expected to include adaptation goals and priorities). However, it is axiomatic that potential synergies from including adaptation in (I)NDCs would not arise and opportunities presented by an NDC-NAP linkage described in Chapter 4 (i.e. in relation to governance and coordination, finance and transparency) would not be fully realised.

5.1.5 National transparency framework and adaptation-related reporting

If the NDC is focused solely on mitigation, separate transparency frameworks for mitigation and adaptation could continue unchanged. However, focusing the NDC solely on mitigation might mean that the adaptation communication could reflect the NAP document, as suggested by Albania, and the NAP process would be the sole source of adaptation-related information for the national communication. This could make stakeholder coordination less challenging in that regard.

²⁷ The Paris Agreement (Article 7.10 and 7.11) states that "Each Party should, as appropriate, submit and update periodically an adaptation communication, which may include its priorities, implementation and support needs, plans and actions, without creating any additional burden for developing country Parties. The adaptation communication... shall be, as appropriate, submitted and updated periodically, as a component of or in conjunction with other communications or documents, including a national adaptation plan, a nationally determined contribution... and/or a national communication."

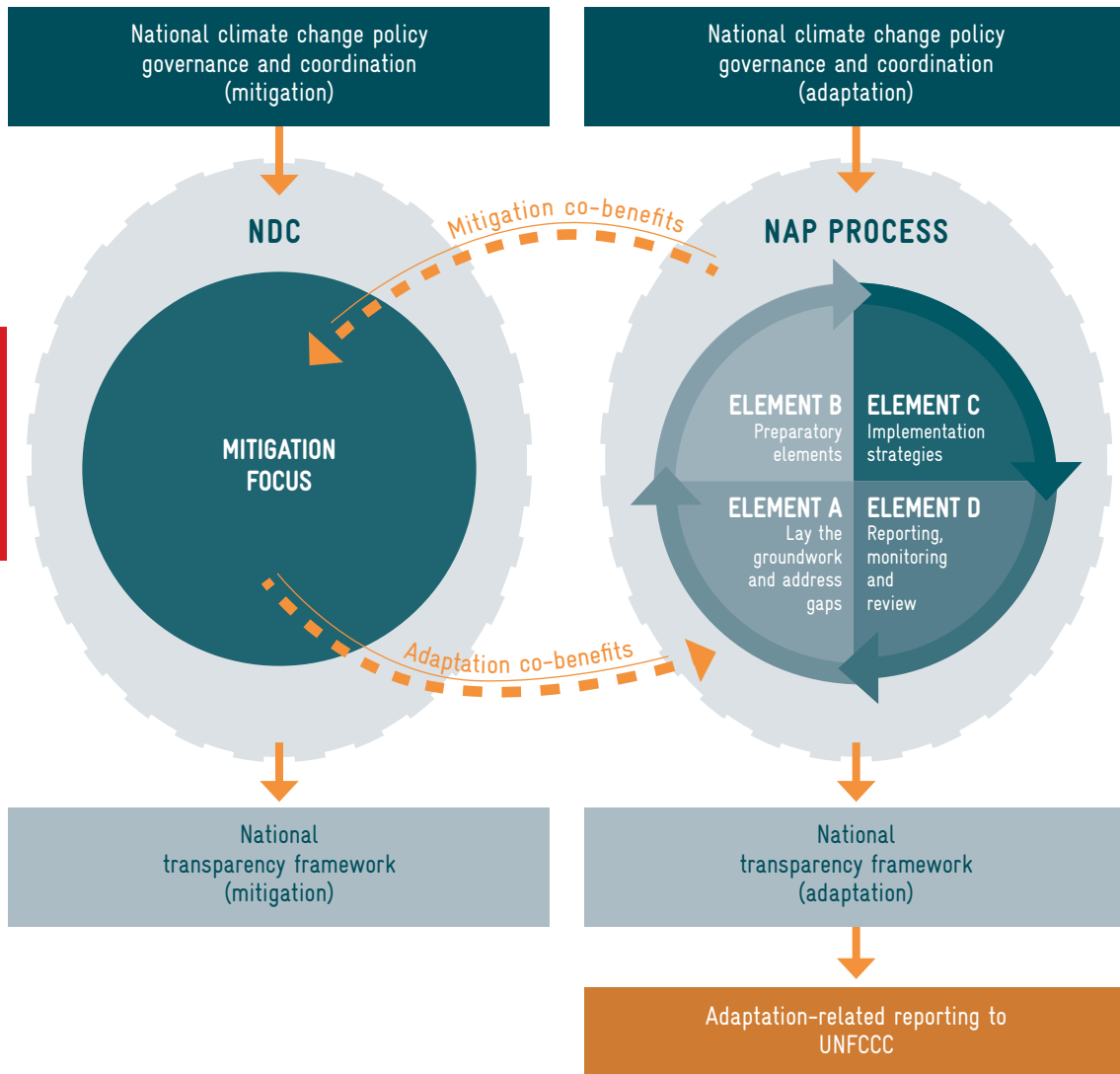


Figure 7:
Linking the
NAP process to
a mitigation-
focused NDC

OPTIONS

for implementing and developing NDC adaptation goals through the NAP process

Taking account of the benefits, opportunities and challenges identified, Figure 8 is provided as the basis of a practical tool with guiding questions for countries that are considering how to proceed with linking implementation and development of NDC adaptation goals with the NAP process. It is recommended as suitable for use by all countries, regardless of the extent of their NDC adaptation components, engagement with the NAP process and desire to link them. It is intended to encompass the breadth of national circumstances and views by providing two options for linkage, a mutually supportive NAP process and NDC (maximising potential opportunities for linkage), and linking the NAP process to a mitigation-focused NDC (minimising potential opportunities for linkages). Further options are possible by combining different elements of these approaches.

A country can use Figure 8 to identify its existing position (i.e. a square in the matrix, numbered 1-6) by answering the following questions:

- *Does the country's NDC have an adaptation component? If not, does the country wish to develop an NDC adaptation component? (the horizontal axis of the matrix)*
- *Does the country have an ongoing NAP process? (the vertical axis of the matrix)*

Once a country has identified which numbered square in the matrix best represents its existing position, it should focus on addressing the guiding questions for that square beneath Figure 8 (34). The arrows indicate the possible directions a country may move around the squares as it develops increasing potential for a mutually supportive NAP process and NDC (as represented by increasing shades of blue). Hence, irrespective of a country's existing position within the matrix, there are potential opportunities to enhance



implementation and development of NDCs through the NAP process (see Chapters 4 and 5). The text within each square, as relevant to that position in the matrix, highlights timely exchange and use of information required for linking a country's NAP process and NDC.

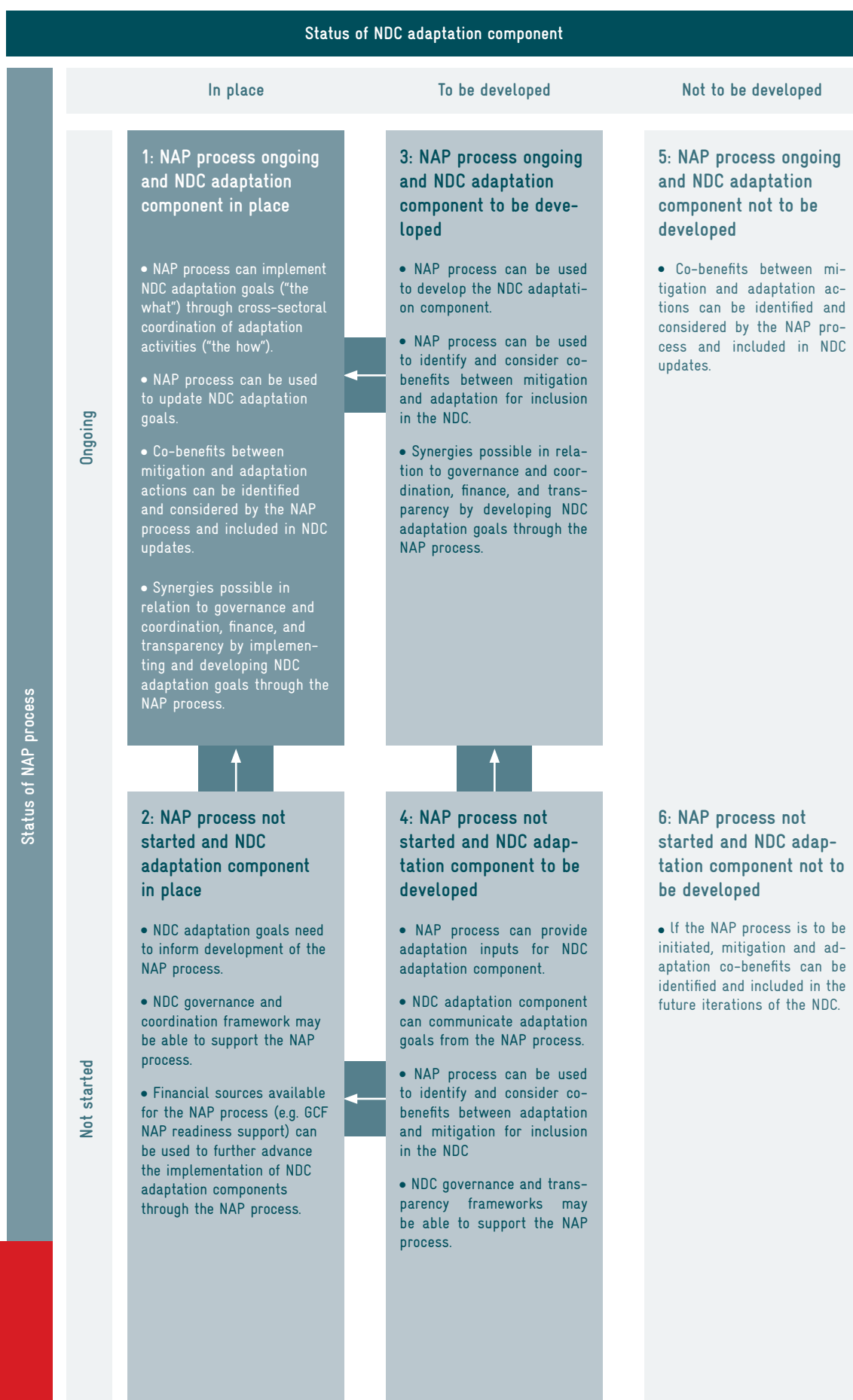


Figure 8:
Potential relations
between the NAP
process and NDCs

Guiding questions for countries that are considering how to proceed with formulating, revising and implementing NDC adaptation goals through the NAP process:

1. NAP process ongoing and NDC adaptation component in place

- A. 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 (35), GIZ's Vulnerability Sourcebook (36), NAP Align (37, 38), Guidebook for Linking National and Sub-national Adaptation Processes (39); the Climate Finance Reflection Tool (CliF Reflect)²⁸ (40) and the Guidebook on Developing National Adaptation Monitoring and Evaluation Systems (41). This guidance material is accessible through the NDC Toolbox Navigator of the NDC Partnership.²⁹
- B. If the country is well advanced with the NAP process and the NDC adaptation goals are not reflective of those in the NAP document, is there political will to adjust the NDC³⁰ (5) or ensure that the NDC update³¹ (42), is aligned with the NAP?
- C. Which governance processes (e.g. in relation to institutional coordination and stakeholder collaboration) need to be aligned across and within sectors for NDC adaptation goals to be implemented or developed through the NAP process?
- D. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for the implementation of the NDC adaptation component?
- E. Which sources of finance identified through the NAP process can be used to implement the NDC adaptation goals and which additional sources of NDC-related finance can be leveraged to implement the NDC adaptation goals via the NAP process?
- F. How can NDC adaptation goals be implemented or developed through the NAP process in ways that support national monitoring and evaluation, and reporting – and avoid duplication of effort?
- G. How can mutual co-benefits between mitigation and adaptation actions, identified and included in the NDC and the NAP document, be tracked through the NAP process?
- H. Which information-exchange processes are needed between the NAP process and NDC implementation to support timely updates of the NAP and NDC, and take advantage of synergies?

²⁸ Climate Finance Readiness Programme

²⁹ The NDC Toolbox Navigator: <http://www.ndcpartnership.org/toolbox-navigator#tools>

³⁰ The Paris Agreement (Article 11.4) states that "A Party may at any time adjust its existing nationally determined contribution with a view to enhancing its level of ambition..."

³¹ The Conference of the Parties in relation to the Paris Agreement "Requests those Parties whose intended nationally determined contribution... contains a time frame up to 2030 to communicate or update by 2020 these contributions and to do so every five years thereafter..." FCCC/CP/2015/10/Add.1, Decision 1/CP.21, para. 24.

2. NAP process not started and NDC adaptation component in place

- A. 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 (35), GIZ's Vulnerability Sourcebook (36), NAP Align (37, 38), Guidebook for Linking National and Sub-national Adaptation Processes (39); the Climate Finance Reflection Tool (CliF Reflect) (40) and the Guidebook on Developing National Adaptation Monitoring and Evaluation Systems (41). This guidance material is accessible through the NDC Toolbox Navigator of the NDC Partnership.³²
- B. Which governance processes (e.g. in relation to institutional coordination and stakeholder collaboration) need to be aligned across and within sectors for NDC adaptation goals to be implemented or developed through the NAP process?
- C. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for the implementation of the NDC adaptation component?
- D. Which sources of finance available for the NAP process can be used to implement the NDC adaptation goals and which additional sources of NDC-related finance can be leveraged to implement the NDC adaptation goals via the NAP process?

3. NAP process ongoing and NDC adaptation component to be developed

- A. 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 (35), GIZ's Vulnerability Sourcebook (36), NAP Align (37, 38), Guidebook for Linking National and Sub-national Adaptation Processes (39); the Climate Finance Reflection Tool (CliF Reflect) (40) and the Guidebook on Developing National Adaptation Monitoring and Evaluation Systems (41). This guidance material is accessible through the NDC Toolbox Navigator of the NDC Partnership.³³
- B. Which governance processes (e.g. in relation to institutional coordination and stakeholder collaboration) need to be aligned across and within sectors for NDC adaptation goals to be developed through the NAP process?
- C. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for the development of the NDC adaptation component?
- D. Which sources of finance identified through the NAP process can be used to develop the NDC adaptation goals and which additional sources of NDC-related finance can be leveraged to develop the NDC adaptation goals via the NAP process?
- E. How can NDC adaptation goals be developed through the NAP process in ways that support national monitoring and evaluation, and reporting systems – and avoid duplication of effort?
- F. How can mutual co-benefits between mitigation and adaptation actions, identified and included in the NDC and the NAP document, be tracked through the NAP process?

³² The NDC Toolbox Navigator: <http://www.ndcpartnership.org/toolbox-navigator#tools>

³³ Ibid.

³⁴ Ibid.

- G. Which information exchange processes are needed between the NAP process and NDC implementation to support timely updates of the NAP and NDC and take advantage of synergies?

4. NAP process not started & NDC adaptation component to be developed

- A. 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 (35), GIZ's Vulnerability Sourcebook (36), NAP Align (37, 38), Guidebook for Linking National and Sub-national Adaptation Processes (39); the Climate Finance Reflection Tool CliF Reflect (40), and the Guidebook on Developing National Adaptation Monitoring and Evaluation Systems (41). This guidance material is accessible through the NDC Toolbox Navigator of the NDC Partnership.³⁴
- B. Which governance processes (e.g. in relation to institutional coordination and stakeholder collaboration) need to be aligned across and within sectors for NDC adaptation goals to be developed through the NAP process?
- C. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for the development of the NDC adaptation component?
- D. Which sources of finance available for the NAP process can be used to develop the NDC adaptation goals and which additional sources of NDC-related finance can be leveraged to develop the NDC adaptation goals via the NAP process?

5. NAP process ongoing and NDC adaptation component not to be developed

- A. In relation to using the NAP process to identify co-benefits between adaptation and mitigation actions for inclusion in NDC updates, has consideration been given to the LEG's technical guidelines for the NAP process (7)?
- B. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for identifying co-benefits between mitigation and adaptation actions for inclusion in NDC updates?
- C. How can mutual co-benefits between mitigation and adaptation actions, identified and included in the NDC and the NAP document, be tracked through the NAP process?
- D. Which information exchange processes are needed between the NAP process and NDC implementation to support timely updates of the NAP and NDC with regard to mutual co-benefits between mitigation and adaptation actions?

6. NAP process not started and NDC adaptation component not to be developed

- A. In relation to commencing the NAP process and, specifically, identifying co-benefits between adaptation and mitigation actions for inclusion in NDC updates, has consideration been given to the LEG's technical guidelines for the NAP process (7)?
- B. How can resources (specific technical, capacity building or financial) be used most efficiently by using the NAP process for identifying co-benefits between adaptation and mitigation actions for inclusion in NDC updates?



KEY MESSAGES

Key messages for policymakers and decision-makers working on climate change adaptation at a national level (e.g. environment ministries, climate change focal points, and adaptation and sectoral experts) are:

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, thereby 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 catalysing 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 identify mitigation-adaptation co-benefits and vice versa.** Therefore, it helps to ensure 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 avoid duplication of effort and make efficient use of limited resources.** This is achieved through increased institutional co-ordination, 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 this way, it encourages investments by the private sector and international finance institutions.
8. Linkages between the NAP process, NDC implementation and possible future iterations can help to **streamline countries’ transparency frameworks, such as countries’ adaptation communications.**
9. Developing and implementing NDC adaptation goals through the NAP process could emphasise 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.**

ANNEX

8.1 Introduction

This annex provides details of the background research underpinning the study and comprises four sections. Section 8.1, the current section, introduces the annex and its structure. Section 8.2 explores the extent to which the (I)NDC adaptation components refer to NAP processes, whether these refer to mitigation-adaptation synergies and co-benefits, as well as the institutional arrangements for (I)NDCs and NAP processes. Section 8.3 provides six country case studies compiled from interviews with key stakeholders and a review of national documents. Section 8.4 synthesises interviews with four experts from international organisations.

8.1.1 Assessment of (I)NDC adaptation components

An initial meta-review was undertaken of existing reviews of the (I)NDC adaptation components published by GIZ (4), the UNFCCC (28), FAO (43), USAID (44), the World Resources Institute (WRI) (45), the World Wide Fund for Nature (WWF) (46), and the French Water Partnership (FWP) and Coalition Eau (47) to determine the existing discourse and to identify gaps in analysis. Information was retrieved from the Tool for Assessing Adaptation in the NDCs (TAAN) (16) for a quantitative and qualitative assessment of (I)NDC adaptation components with a special focus on NAP and NAP-like processes to gain a better understanding of the linkages and to support the development of key policy messages. Some aspects were addressed more specifically by looking at a sample of 10 (I)NDCs from the following countries:

- *LDCs: Togo and Malawi;*
- *SIDS: Vanuatu and Grenada;*
- *Latin American and Caribbean: Mexico and Peru;*
- *Africa: Ethiopia and South Africa;*
- *Asia-Pacific: India and Viet Nam.*

8



8.1.2 Country case studies

Telephone interviews with national leaders on adaptation from six countries (Figure 9: Map of country case studies) were undertaken to explore their understanding of possible links between NDCs and the NAP process. These interviews, together with reviews of national climate policy documents, were used to develop country case studies that helped to underpin and refine the key policy messages emerging from the wider assessment of (I)NDC adaptation components. The six countries (Albania, Bangladesh, Jordan, Morocco, South Africa and Togo) were identified from a preliminary assessment of the (I)NDC adaptation components as being at various stages in progressing their NAP processes³⁵.

8.1.3 Interviews with experts from international organisations

The scope of the telephone interviews with experts from international organisations was similar to the scope of those with the national stakeholders

interviewed for the country case studies and focused on their involvement in the development of (I)NDCs and NAP processes. The international stakeholders were from GIZ (Vanuatu), USAID, UN Environment and FAO.

8.2 Assessment of (I)NDC adaptation components

This section focuses on the quantitative and qualitative assessment of (I)NDC adaptation components. Although the adaptation content has barely been modified in most NDCs (as most INDCs became the first NDCs once a country ratified the Paris Agreement), for overview purposes this section differentiates between INDCs and NDCs, when appropriate. In cases where the information applies to INDCs and NDCs, this is featured as (I)NDCs. Moreover, this section identifies areas of convergence and divergence between the adaptation content in the (I)NDCs.



Figure 9:
Map of country case
studies

8.2.1 (I)NDC adaptation components

8.2.1.1 Past or future plans and actions

Countries have used (I)NDCs in a variety of ways to inform about past and future plans and actions (see Box 8). As of 17 May 2017, more than half (59% NDCs (58% INDCs)) of the 104 NDCs (145 INDCs) including adaptation were mostly/only forward-looking (see Figure 10). 34% of (I)NDC adaptation components³⁶ were backward- and forward-looking, 4% of NDCs (5% INDCs) were mostly/only backward-looking³⁷, while 3% of NDCs (9% of INDCs) did not specify whether the content referred to planned actions or implemented measures³⁸.

The outlook of countries that have now submitted their NDCs³⁹ is largely unchanged (16). Of the forward-looking (I)NDCs, 27 countries are from Africa, 11 are from Latin America and the Caribbean, one is from Europe, 19 are from Asia and 7 are from Oceania (16). Most of the LDCs have included forward-looking information. A review of 10 (I)NDCs provides more detailed examples of how countries have been either backward-looking, forward-looking or both (see Table 2).

None of the 10 (I)NDCs has purely backward-looking adaptation components. Out of the 10 (I)NDCs, 3 are assessed as backward- and forward-looking. For instance, Ethiopia states that it intends to undertake adaptation initiatives “to reduce the vulnerability of its population, environment and economy to the adverse effects of climate change, based on its Climate Resilient Green Economy Strategy (CRGE)” (48). The CRGE (49) was prepared in 2012 and outlines a long-term goal on adaptation for 2030. In addition to future actions, the NDC goes on to present a number of completed/ongoing actions and programmes that relate to this goal.

It is challenging to assess whether the information provided in some (I)NDCs is backward-looking or forward-looking. For instance, Vanuatu states that the NDC adaptation component does not seek to set

BOX 8: Definitions of backward- and forward-looking

The assessment was based on the following definitions:

- **backward:** the (I)NDC only mentions plans and actions that have already been implemented;
- **backward/forward:** the (I)NDC mentions plans and actions that have already been implemented and also presents new activities or plans that will be implemented in the future;
- **forward:** the (I)NDC only mentions plans that are to be implemented.

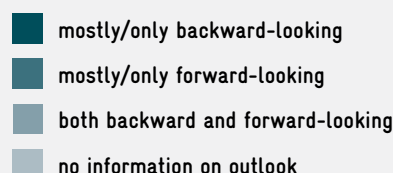


Figure 10:
Backward/forward-looking (I)NDC adaptation components⁴⁰ (16)

³⁵ Although the Annex makes reference to the NAP process, other similar adaptation planning processes were also considered, which may include development of a NAP or NAP-like document.

³⁶ All percentages are in reference to INDCs including adaptation.

³⁷ For instance Guatemala, Kiribati, Marshall Islands, Malaysia, Nepal and Venezuela.

³⁸ For instance Micronesia, Monaco, Pakistan and Ukraine.

³⁹ As of 17 May 2017

⁴⁰ This figure reflects INDCs as well as NDCs as there was no change to the content of forward/backward-looking adaptation components when the INDCs were put forward as NDCs.

Table 2: Backward- or forward-looking elements of 10 (I)NDC adaptation components

Country	Backward- or forward-looking elements	Outlook ⁴¹	Summary
Togo (33)	Mentions that the approach selected by Togo involves the implementation of a portfolio of measures and projects in response to adaptation issues and national development priorities. Presents the priority adaptation measures and projects to be implemented in an annex.	Forward	Adaptation actions that will be undertaken if particular conditions are met.
Malawi (19)	Mentions the National Climate Change Management Policy, as of 2015 pending Cabinet approval and endorsement, to spur climate change activities. Indicates which actions the country plans to undertake if particular conditions are met and lists a few activities that are being implemented.	Backward / forward	A few adaptation actions being undertaken and future actions that could be undertaken if particular conditions are met.
Vanuatu (50)	Does not set adaptation targets, but reiterates adaptation priorities identified in key national documents, such as the NAPA and the Vanuatu CC&DRR Policy.	Forward	Priorities for future implementation from key national documents.
Grenada (51)	Mentions adaptation actions are in keeping with a robust National Climate Change Policy and Action Plan (NCCPAP) (2007-2011), which will be reviewed as part of the NAP process, as well as a resilience building plan that is in line with regional adaptation strategies.	Forward	Adaptation actions that will be undertaken if particular conditions are met.
Mexico (52)	Focuses on preparing for and preventing climate vulnerabilities, rather than just responding to climate-related disasters. Goals include reducing the number of vulnerable municipalities by at least 50%, increasing financing for disaster prevention as opposed to disaster response, eliminating deforestation by 2030 and incorporating adaptation criteria in public infrastructure investment projects.	Forward	Presents future goals and specific targets until 2030.
Peru (17)	Supported by information from previous years but places greater emphasis on actions and plans since 2003, when the National Climate Change Strategy (NCCS) ⁴² and Regional Strategies were formulated, and also on the Second National Communication (2010) and the Adaptation and Mitigation Action Plan against Climate Change.	Forward	States that existing strategies have been in place/updated and sets out plans to achieve a future adaptation objective.

⁴¹ Outlook was categorised as either backward- or forward-looking, or both.

⁴² The Strategy was initiated in 2003, and later revised in 2009.

Table 2: Backward- or forward-looking elements of 10 (I)NDC adaptation components (continuation)

Country	Backward- or forward-looking elements	Outlook	Summary
Peru (continuation)	<p>Based on a number of different studies, projects and practical adaptation experiences, specifically national and regional vulnerability studies, and research for prioritised basins.</p> <p>Underpinned by goals set out in sectoral plans and programmes⁴³, together with cross-cutting goals that bring together effective action on climate change and development for Peru.</p> <p>National goals to achieve an adaptation objective by 2030, aligned to prioritised vulnerable sectors.</p>	Forward	
Ethiopia (48)	<p>The adaptation initiatives foreseen in the NDC aim to reduce the vulnerability of its population, environment and economy to the adverse effects of climate change. They are aligned with Ethiopia's Climate Resilient Green Economy (CRGE) strategy (49). The CRGE is a national strategy for addressing climate change adaptation and mitigation objectives that aims to ensure a resilient economic development pathway and is integrated into the Second Growth and Transformation Plan (the national development plan).</p> <p>Sets out current and near-term adaptation actions, including national, subnational/regional and sectoral plans and programmes⁴⁴. Medium/long-term actions are aligned with the CRGE's three pillars on flooding, droughts and cross-cutting issues to increase resilience, and reduce vulnerability of people and landscapes with a timeframe up to 2020 and beyond.</p>	Backward / Forward	Outlines current/near-term programmatic adaptation actions and lays out medium/long-term goals under its CRGE strategy that contribute towards a long-term adaptation goal.
South Africa (53)	<p>Is aligned to the environmental right that is set out in Section 24 of its Constitution and uses national documents including its National Development Plan 2030 (54) that provides the vision to reduce inequalities and eliminate poverty by 2030.</p> <p>Presents six costed adaptation goals and confirms that a National Climate Change Adaptation Strategy and Plan⁴⁵ is being developed that will be integrated into all relevant sectoral plans as part of the NAP process. The plan is informed by impact and vulnerability assessments that will form the basis for future adaptation actions (2020-2030).</p>	Forward	Outlines six goals for implementation of adaptation actions until 2030, while linking to broader SDGs.

⁴³ Includes current national planning documents: Bicentennial Plan, National Plan for Disaster Risk Management (PLANAGERD), Environmental Action Plan (PLANAA), Environment Agenda 2014, and sectoral planning documents: PLANGRACC-A11, Budget Programs, Integral Plan of mitigation and adaptation to the effects of climate change on public health, among others.

⁴⁴ Includes the NAPA (2007), EPACC (2011), nine national regional states' and two city administrations' adaptation plans, five sectoral adaptation plans, agriculture sector adaptation strategy and several large-scale sustainable land and natural resource management programmes are ongoing, e.g. Sustainable Land Management Programme, Productive Safety Net Programme, which will contribute to building resilience to climate change.

⁴⁵ A presentation by the Department of Environmental Affairs provides more details on the process.

Table 2: Backward- or forward-looking elements of 10 (I)NDC adaptation components (continuation)

Country	Backward- or forward-looking elements	Outlook	Summary
India (55)	<p>Mentions overarching climate change policy is framed by the National Environment Policy (NEP) 2006 (56) (combining three core elements of sustainable development, respect for the environment and social justice) with a long-term goal to be achieved by 2030.</p> <p>Refers to</p> <ul style="list-style-type: none"> — the National Action Plan on Climate Change (NAPCC), which addresses mitigation and adaptation, implemented through eight National Missions (five focused on adaptation – agriculture, water, Himalayan ecosystems, forestry, and capacity building and knowledge management); — a series of State Action Plans on Climate Change (SAPCC) that focus significantly on adaptation. <p>Notes that 32 States and Union Territories are implementing their SAPCC⁴⁶ and are mainstreaming climate change in their planning processes.</p> <p>Refers to other schemes⁴⁷ and to more targeted programmes as a means of strengthening vulnerable communities' adaptive capacities.</p>	Backward / forward	Provides information on existing programmes and schemes under the five National Missions relating to adaptation and future plans.
Viet Nam (57)	<p>Includes plans, developed in accordance with the current situation and projections until 2030, which may be subject to future adjustment.</p> <p>Mentions that the NCCS has identified adaptation priorities, which are food security, energy security, water security, poverty reduction, gender equality, social security, public health, livelihood improvements and the protection of natural resources. These require the adaptive capacity of human, socio-economic and natural systems to be enhanced.</p> <p>Notes that short-term adaptation actions (until 2020) are reflected in a number of key documents.⁴⁸</p> <p>Mid-term adaptation actions (2021-2030) are presented under three key areas – respond pro-actively to disasters and improve climate monitoring, ensure social security, and respond to sea-level rise and urban inundation.</p>	Forward	Presents future goals and specific targets until 2030.

⁴⁶ Further information on [State Action Plans on Climate Change](#) prepared.

⁴⁷ The INDC does not specifically identify these other schemes but implies that they have been, or are being, completed.

⁴⁸ Specifically: Resolution No. 24-NQ/TW on “Pro-actively responding to climate change, enhancing natural resource management and environmental protection” (2013); Law on Natural Disaster Prevention and Control (2013); National Climate Change Strategy (2011); National Target Programme to Respond to Climate Change (2008, 2012); and action plans at the national, ministerial, sectoral and local levels on climate change response and disaster risk prevention and reduction.

adaptation targets for Vanuatu. Rather, it provides an opportunity to reiterate adaptation priorities, as identified and prioritised in key national documents such as the country's NAPA and the Vanuatu CC&DRR Policy. The information in Vanuatu's NDC adaptation component does not specify to what extent these actions have already been implemented or are planned to be implemented. Only through a further rapid review of the documents referenced in the NDC (e.g. progress on the NAPA) was it possible to determine that it was backward- and forward-looking in nature. Similarly, Mexico's NDC reaffirms its sub-national adaptation plans are already in place⁴⁹, but does not specify which actions from these plans have already been implemented or are planned to be implemented. The publication of Mexico's NDC provides a more thorough account of those actions/plans that have been implemented or will be implemented in the future. The assessment of other (I)NDC adaptation components has been straightforward. Grenada's

NDC mentions that “past and current adaptation actions have been in keeping with a robust National Climate Change Policy and Action Plan” and states that the country will be undertaking a review of this plan as part of its NAP process⁵⁰ (51).

Purely forward-looking adaptation components were most common among the 10 (I)NDCs. For example, South Africa's NDC highlights that it plans to develop a NAP process in the future⁵¹ and to use the resultant plan as the basis for its NDC (see Table 2).

8.2.1.2 The nature of (I)NDC adaptation goals

Countries identify goals in their (I)NDCs that have a bearing on national adaptation planning. Table 3 provides examples by summarising how goals are set out in the 10 (I)NDCs and categorising them according to whether they relate to: national adaptation planning, national development planning (including SDGs) and/or financial requirements.

Table 3: Stated adaptation goals in 10 (I)NDCs

Country	Adaptation goals	Categorisation
Togo (33)	<p>National priority defined as developing and implementing an adaptation strategy and options that deliver co-benefits for mitigation to be achieved through strengthening the resilience of production systems and embarking on a carbon-lean development path.</p> <p>Refers to goals stated in the NAPA:</p> <ul style="list-style-type: none"> — protection of human lives and livelihoods, resources, infrastructure and the environment; — identification of grassroots communities' urgent, immediate adaptation needs; — incorporation of adaptation measures and objectives into sectoral policies and national planning. 	National adaptation planning and national development planning.
Malawi (19)	<p>States in its INDC that it has provided opportunity to enhance implementation of the country's SDGs, which are articulated in its national developmental agenda.</p> <p>Refers to National Climate Change Management Policy (yet to be formally adopted). This will seek to promote climate change adaptation and mitigation for sustainable livelihoods by increasing knowledge and understanding, and improving human wellbeing and social equity, while pursuing economic development that significantly reduces environmental risks and ecological scarcities.</p>	Outlines six goals for implementation of adaptation actions until 2030, while linking to broader SDGs.

⁴⁹ State-level and municipality-level climate change action plans

⁵⁰ Grenada's NAP process is ongoing and a NAP document has recently been **launched**.

⁵¹ To date, South Africa has already initiated its NAP Process.

Table 3: Stated adaptation goals in 10 (I)NDCs (continuation)

Country	Adaptation goals	Categorisation
Malawi (continuation)	Identifies priority sectors and thematic areas based on national development priorities (above) and those identified as vulnerable by the NAPA, which are agriculture (crops, livestock and fisheries), water resources, health, infrastructure, land-use planning, transport, population and human settlements, disaster risk management, forestry, wildlife, energy and gender.	
Vanuatu (50)	<p>Seeks to reiterate priorities previously identified through existing national documents, including the NAPA and Vanuatu CC&DRR Policy, placing greatest priority on urgent and immediate needs.</p> <p>Refers to the NAPA's five priorities, which have been further elaborated and implemented with funding from the Least Developed Countries Fund (LDCF) – agriculture and food security, sustainable tourism development, community-based marine resource management, sustainable forest management and integrated water resource management.</p> <p>Also refers to the Vanuatu CC&DRR Policy, which identifies five key adaptation strategic priorities, and associated actions to further enhance the national adaptation efforts and build resilience across sectors that include the need for:</p> <ul style="list-style-type: none"> — climate change vulnerability and multisector impact assessments; — integrated climate change and DRR; — community-based adaptation; — loss and damage; — ecosystem-based approaches. 	National adaptation planning.
Grenada (51)	<p>States that it is seeking to integrate local adaptation activities with national policies and sector priorities and identifies four [goals] “actions to support resilience building at all levels”, which are:</p> <ul style="list-style-type: none"> — enhancing the institutional framework; — building coastal resilience; — improving water resource management; — building resilience of communities. 	National adaptation planning.
Mexico (52)	<p>Focuses on reducing climate vulnerabilities and responding to climate-related disasters.</p> <p>Goals outlined are:</p> <ul style="list-style-type: none"> — reducing the number of vulnerable municipalities by at least 50%; — increasing financing for disaster prevention as opposed to disaster response; — eliminating deforestation by 2030; — incorporating adaptation criteria in public infrastructure investment projects. 	National adaptation planning.
Peru (17)	<p>States as the main objective for 2030 that „Peru adapts to the adverse effects and takes advantage of the opportunities imposed by climate change“ with objectives and goals for five sectors (water, agriculture, fisheries, forestry and health) and five cross-cutting areas (disaster risk management, resilient infrastructure, poverty and vulnerable populations approach, gender approach and promotion of private investment in climate change adaptation).</p> <p>States that the formulation of a NAP will begin in the near future as the main instrument for complying with the NDC's ambitions.</p>	National adaptation planning, national development planning and financial requirements.

Table 3: Stated adaptation goals in 10 (I)NDCs (continuation)

Country	Adaptation goals	Categorisation
Ethiopia (48)	<p>Sets out its long-term adaptation goal, in accordance with its CRGE strategy, to mainstream climate change adaptation into development activities, and thereby reduce vulnerability and contribute to a resilient economic growth path.</p> <p>To achieve its overall adaptation goal, the country outlines medium to long-term actions up to and beyond 2020 that will seek to increase resilience and reduce vulnerability of livelihoods and landscapes in three pillars aligned with those in the CRGE (drought, floods and other cross-cutting interventions).</p>	National development (including SDGs).
South Africa (53)	<p>Provides clear goals for 2020-2030 with assumptions and methods that define future implementation plans presented in relation to three elements:</p> <ul style="list-style-type: none"> — Adaptation objectives and planning for implementation – formulate and implement the NAP process; mainstream climate change into national, sub-national and sector policy frameworks thereby building institutional capacity; and developing early warning systems and monitoring and evaluation systems for implementation of adaptation measures. — Adaptation needs and costs – developing vulnerability and adaptation needs assessments. — Adaptation investments – communication and awareness framework, including tracking climate finance investments for adaptation (domestic and international). 	National development planning (including SDGs). National adaptation planning and financial requirements.
India (55)	<p>Focuses its goals around five ‘Missions’ (see Table 2) that are linked to national development planning, and aligned to national budgets and sustainable development priorities (agriculture, water resources, Himalayan ecosystems, coastal regions, health and disaster management).</p>	National development planning (including SDGs) and financial requirements.
Viet Nam (57)	<p>Identifies a long-term aim “to minimise loss of life and property due to climate change” and three actions (goals) – respond pro-actively to disasters and improve climate monitoring, ensure social security, and respond to sea-level rise and urban inundation.</p> <p>Notes that climate change adaptation must:</p> <ul style="list-style-type: none"> — be linked to sustainable development and the transition towards a low-carbon economy; — ensure a systematic, joint, interdisciplinary, interregional approach; — incorporate gender equality, hunger eradication and poverty reduction. 	National adaptation planning and national development planning.

Most of the 10 (I)NDCs identify clear adaptation goals, which cover a wide range of sectors from agriculture, forestry, and water through to disaster risk management, health and social security. Among others, South Africa, Ethiopia and Peru all present a long-term dimension to adaptation goals in their NDCs. Despite clearly describing a long-term goal, Ethiopia’s NDC does not specify timeframes beyond 2020. South

Africa provides clear goals for the period 2020-2030 that are linked to various elements. Peru sets goals for 2030 in relation to the following core themes:

- *disaster risk management;*
- *resilient infrastructure;*
- *poverty and vulnerable populations approach;*

- *gender approach;*
- *promotion of private investment in climate change adaptation.*

Some countries provide clear goals, but do not link them specifically to any other plans. For instance, Grenada's NDC outlines four goals, and emphasises that these should be taken into account by long-term adaptation plans. Whereas Vanuatu presents priority adaptation actions based on its current NAPA and DRR Policy, but does not frame them within any specific long-term goals.

Most of the 10 (I)NDCs have goals that relate to national adaptation planning. Peru specifically highlights that the NAP process will be the main instrument for complying with the goals established in its NDC. South Africa also presents a goal that links to the formulation and implementation of its NAP process, and indicates a timeline for implementation⁵².

All 10 (I)NDCs link in some way to national development plans, although a few do so less explicitly. Togo, Ethiopia and Malawi link their adaptation goals to national development (e.g. by variously outlining climate mainstreaming, low carbon development or climate resilient strategies). Malawi goes a step further by using its national development agenda to frame the INDC and specifically relates it to the SDGs.

Some countries link their adaptation goals to financial requirements. For instance, India's NDC not only relates adaptation goals to national development planning, but also aligns them with national investment and budgeting plans. The NDC states that India aims to better adapt to climate change by enhancing investments in development programmes in climate vulnerable sectors. It is also apparent that actions are conditional on additional finance as India intends to mobilise domestic and new and additional international funds to implement the mitigation and adaptation actions.

⁵² "Goal 1: Develop a National Adaptation Plan, and begin operationalisation as part of implementing the NCCRP for the period from 2020 to 2025 and for the period 2025 to 2030" South Africa (2015) INDC; the content of the first NDC submitted in November 2016 remains unchanged.

8.2.1.3 Quantitative or qualitative goals

While a majority (89%) of all INDCs contains an adaptation goal, Figure 11 highlights that most of these are qualitative in nature, with only 17% presenting quantitative goals.

A total of 88% of NDCs contain adaptation goals with only 15% providing quantitative goals. Countries have retained adaptation goals in their NDCs unchanged from those in their INDCs, although Morocco's INDC only had a qualitative goal and its NDC has a qualitative and quantitative goal. Countries with only qualitative adaptation goals in their NDCs (INDCs) include 28 (39) from Africa, 15 (19) from Latin America and the Caribbean, 2 (3) from Europe, 23 (35) from Asia, and 8 (8) from Oceania. Countries with NDCs that do not have any adaptation goals are Armenia, Guatemala, Israel, Micronesia, Monaco, Pakistan, Palau, Panama, Papua New Guinea, Paraguay, Samoa, Tuvalu, and Ukraine (16).

8.2.1.4 Implementation plans

Table 4 details the extent to which the 10 (I)NDC adaptation components provide information on the means by which they will be implemented (i.e. plans, roadmaps and/or strategies).

Some of the 10 (I)NDC adaptation components summarise detailed vertical and/or horizontal implementation plans. For instance:

- *South Africa presents a plan for each goal (e.g. Goal 1, which is linked to the development of the NAP process, states that the 2011 NCCRP will be used to guide the process).*
- *India presents plans from its NAPCC for all sectoral initiatives and actions listed. It also states that all 32 States and 7 Union Territories in India are preparing SAPCCs, which are aligned to the overarching vision of the NAPCC and the 8 National Missions. SAPCCs describe in detail: climate and vulnerability assessments, adaptation planning, mitigation options, and financing and capacity building needs to implement the identified interventions.*

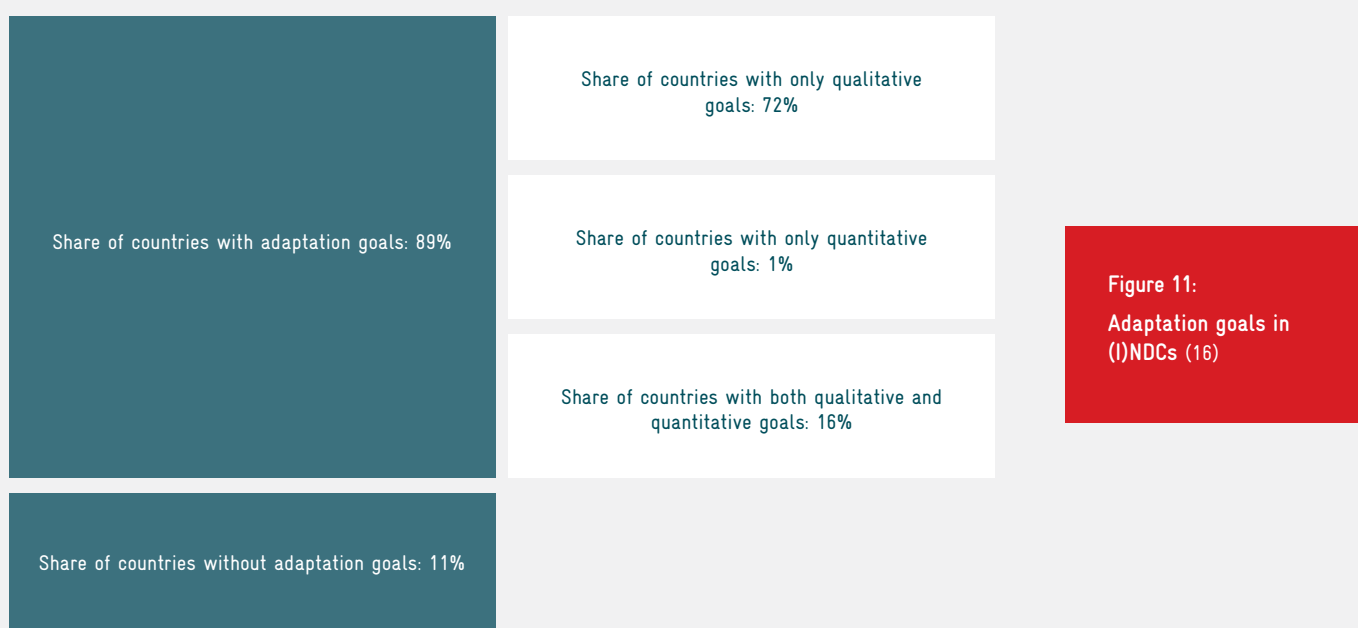


Table 4: Information on implementation plans in 10 (I)NDC adaptation components

Country	Implementation plans
Togo (33)	<p>The approach selected by Togo involves the implementation of a portfolio of measures and projects in response to adaptation issues and national development priorities, which will prioritise adaptation options that also mitigate greenhouse gas (GHG) emissions, wherever possible.</p> <p>Implementation methods are detailed in a separate section of the INDC for mitigation and adaptation under three core areas – capacity building, technology transfers and financial support.</p> <p>The INDC draws information from a range of key documents including technology needs assessments (TNAs), the national climate strategies and actions plans, the communication strategy for climate change and the transition to the green economy, capacity-building needs assessments, investment needs assessments, national communications, NAMAs, the NAPA, and the National Investment Programme for the Environment and Natural Resources (PNIERN).</p> <p>Annex IV of the NDC presents a list of costed priority adaptation measures by sector – energy; agriculture; human settlements (urban planning); water resources; coastal erosion; and land use, land-use change and forestry (LULUCF).</p> <p>Annex VII presents the timetable of activities for INDC implementation. It notes that the most vulnerable sectors to climate impacts include energy, water resources, agriculture, forestry and land use, human settlements and coastal zones.</p>
Malawi (19)	<p>The INDC states that Malawi launched its Vision 2020 in 2000 to provide a roadmap for sustainable development in the country. It notes that this provided the basis for developing medium-term developmental plans, such as the Malawi Poverty Reduction Strategy Programme (MPRSP), Malawi Economic Growth Strategy (MEGS) and Malawi Growth and Development Strategy I & II (MGDS I & II). MGDS II spans the period 2011 to 2016⁵³. MGDSII recognises climate change as a key priority area. The INDC also highlights that, at the sectoral level, the National Environmental Action Plan (NEAP) (1994) and NEP (revised 2004) provided policy guidance and direction on issues relating to the environment, natural resources and climate change.</p>

⁵³ A successor to MGDS II was being developed at the time of submitting Malawi's INDC.

Table 4: Information on implementation plans in 10 (I)NDC adaptation components (continuation)

Country	Implementation plans
Malawi (continuation)	<p>The timeframe stated for implementation of the INDC adaptation goals is 2015 to 2040. The INDC notes that, during this time, Malawi will develop a more detailed plan. This will also be aligned to national medium-term plans (specifically the successor to MGDS II that commenced in 2016) and long-term plans (specifically the successor to Vision 2020).</p> <p>The INDC refers to other strategic documents that have guided Malawi's policy direction, such as the national communications of 2002 and 2011, NAPA (2006), National Environment and Climate Change Communication Strategy (2012), Malawi's Climate Change Learning Strategy (2012) and National Climate Change Investment Plan (2014).</p> <p>It notes that the most vulnerable sectors to climate impacts include agriculture, energy, water, forestry, fisheries, gender, wildlife and human health. The priority sectors for adaptation include agriculture (crops, livestock and fisheries), water, resources, health, infrastructure, land-use planning, transport, population and human settlements, disaster risk management, forestry, wildlife, energy and gender.</p>
Vanuatu (50)	<p>Priority actions from the NAPA and Climate Change Adaptation and DRR strategies were presented in an Annex to the NDC. No clear implementation plan was presented.</p> <p>It notes that the priority sectors for adaptation to climate impacts include agriculture and food security, sustainable tourism development, community-based marine resource management, sustainable forest management, and integrated water resource management.</p>
Grenada (51)	<p>Grenada outlines costs of implementing its NDC until 2025. The INDC outlines constraints to implementation of adaptation actions, including <i>"lack of capacity, human resources, technology, financial resources, data, knowledge and awareness."</i> It notes that priority sectors (agriculture, water and tourism) requiring further support have been identified and that the results of TNAs that are being undertaken will enable Grenada to fill necessary capacity and knowledge gaps to continue implementing its resilience-building activities.</p> <p>It notes that the most vulnerable sectors to climate impacts include tourism and agriculture.</p>
Mexico (52)	<p>The NDC includes concrete goals and actions to be undertaken from 2020 to 2030 in the following three areas – adaptation to climate change for the social sector, ecosystem-based adaptation, and adaptation of strategic infrastructure and productive systems.</p>
Peru (17)	<p>Peru outlines the timeframe for implementing its NDC as 2021 to 2030. The NDC presents the scope and medium-term objectives for its sectoral and cross-cutting goals on adaptation, but no further detail is given with regard to implementing these goals.</p> <p>It notes that priority sectors for adaptation to climate impacts include water, agriculture, fisheries, forestry and health.</p>
Ethiopia (48)	<p>The NDC refers to several strategies and programmatic adaptation actions as 'current and near-term action', which include the NAPA since 2007; Ethiopian Programme of Adaptation to Climate Change (EPACC 2011); national, regional, state and city administration adaptation plans; sectoral adaptation plans; and an agriculture sector adaptation strategy. It explains that the main effort up to and beyond 2020 will be to reduce the vulnerability and increase the resilience of livelihoods and landscapes in three pillars – drought, floods and other cross-cutting interventions. The NDC states that EPACC and sectoral climate resilience strategies have been developed to provide a framework to build resilience to climate shocks with an emphasis on:</p> <ul style="list-style-type: none"> — reducing the cost of countering vulnerability and ensuring adaptation to protect the population – especially in rural areas – from adverse effects of global warming; — safeguarding economic development to ensure that Ethiopia will attain middle-income status by 2025, despite current and anticipated climate change. <p>It notes that the most vulnerable sectors to climate impacts include health, agriculture, water, energy, buildings and transport.</p>

Table 4: Information on implementation plans in 10 (I)NDC adaptation components (continuation)

Country	Implementation plans
South Africa (53)	<p>The NDC presents each goal with an associated implementation plan. It notes that, as part of Goal 1, development of the NAP (National Development Plan Vision 2030), sector plans and any future variants of these plans underpin the country's sustainable development. It notes that the 2011 National Climate Change Response Policy (NCCRP) provides guiding principles and will form the basis for an integrative NAP focused on sectoral and geographic vulnerabilities.</p> <p>It notes that the most vulnerable sectors to climate impacts include water and food security, health, human settlements, infrastructure and ecosystem services.</p>
India (55)	<p>India's NDC lists all initiatives and actions being undertaken in each sector (together with relevant plans) under its NAPCC. The timeframe given for implementation of costed actions is 2015 to 2030. The NDC notes that 32 States and 7 Union Territories in India are preparing SAPCCs⁵⁴, incorporating local needs and priorities. The SAPCCs are intended to encompass the NAPCC's vision and to be aligned with its 8 National Missions. The NDC explains that SAPCCs describe in detail the impact of climate and vulnerability assessments, adaptation and mitigation options, and financing and capacity building needs to implement the identified interventions. It notes that key sectors covered by SAPCC include those that relate to the NAPCC's five Missions for adaptation – agriculture, water, habitat, forestry, and health and disaster management.</p> <p>It notes that priority sectors for adaptation to climate impacts include agriculture, water, Himalayan ecosystems, forestry, capacity building and knowledge management.</p>
Viet Nam (57)	<p>The NDC notes that climate change adaptation until 2020 is reflected in the following strategies, programmes and action plans:</p> <ul style="list-style-type: none"> — Resolution No. 24-NQ/TW on “Pro-actively responding to climate change, enhancing natural resource management and environmental protection” (2013); — Law on Natural Disaster Prevention and Control (2013); — NCCS (2011); — National Target Programme to Respond to Climate Change (2008, 2012); — Action plans at the national, ministerial, sectoral and local levels on climate change response and disaster risk prevention and reduction. <p>The NDC states that for the period 2021 to 2030, Viet Nam aims to minimise the loss of life and property due to climate change. Adaptation priority actions stated for this period include to respond pro-actively to disasters and improve climate monitoring, ensure social security, and respond to sea-level rise and urban inundation.</p> <p>It notes that the most vulnerable sectors to climate impacts include agriculture, water resources, natural ecosystems, biodiversity, public health and infrastructure.</p>

Some of the other countries' (I)NDC adaptation components refer to implementation plans or timeframes for the actions or activities without presenting implementation plans, strategies or roadmaps. For example:

- *Vanuatu presents the priority actions from its NAPA and CC&DRR Policy, but does not provide any further detail regarding timeframes or specific implementation plans for these actions.*
- *Togo's INDC states that its approach involves the implementation of a portfolio of measures and pro-*

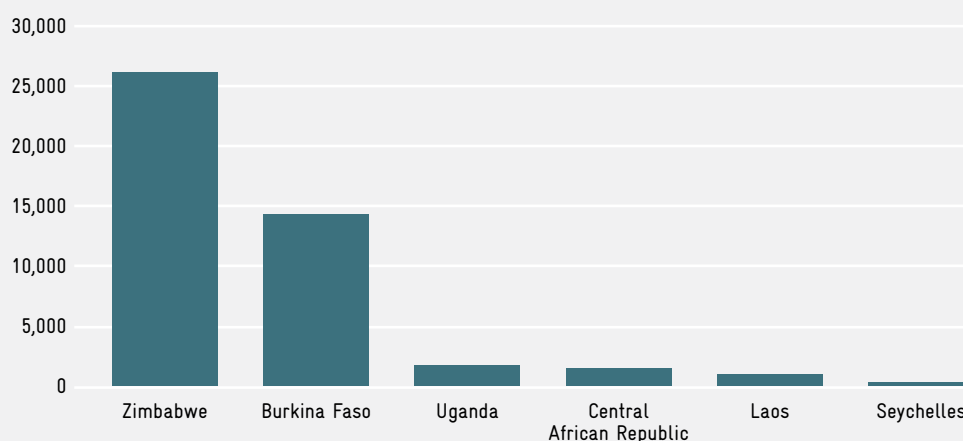
jects in response to adaptation issues that relate to its advanced NAP process and presents a timetable for implementation in an annex.

There are cases where countries have chosen to present actions and implementation plans (e.g. Ethiopia). This may indicate that such countries are in a slightly more advanced position when it comes to national adaptation planning and coordination.

⁵⁴ Further information on [State Action Plans on Climate Change](#) prepared.

Figure 12:

Total financial support requested for specific adaptation measures and/or sectors per country (in millions of USD) (16)



8.2.1.5 Costed (I)NDC adaptation components

Only 34% of countries include estimated costs for their NDC adaptation components (34% INDC). The figures and methodologies mentioned vary greatly from country to country (16), so they are difficult to compare. The sum of total adaptation costs specified in NDCs is USD 140.5 billion (USD 126.5 billion INDC) and the sum of financial support requested for adaptation in the NDCs is USD 19 billion (USD 39 billion INDC). Only six countries requested support for specific adaptation measures (Figure 12).

Only nine countries (Bhutan, Cabo Verde, Central African Republic, Kiribati, Myanmar, Nepal, St Kitts and Nevis, Uruguay and Yemen)

requested support specifically for their NAP process (16). Table 5 highlights the numbers and percentages of (I)NDCs and NDCs that provide specific overall figures for support required and/or for activities/sectors.

8.2.1.6 Conditionality of (I)NDC adaptation components

Figure 13 provides a breakdown of the degree to which countries' adaptation actions in INDCs are conditional on international support. At least 69% of countries present at least partially conditional adaptation actions. Only nine countries state that adaptation actions are 100% unconditional on international support.

Table 5: Information on adaptation costing in (I)NDCs (16)

Information on adaptation costing	Number of countries that submitted adaptation component		% of (I)NDCs that refer to adaptation	
	INDC	NDC	INDC (n=145)	INDC (n=104)
Providing specific overall figures for support required	10	4	7	4
Providing specific figures by activities/sectors for support required	9	5	6	5
Providing specific figures for support required (overall or by activities/sectors)	19	9	13	9
Requesting financial support without providing specific figures	98	69	68	66

8.2.1.7 Reference to enhanced adaptation outcomes

The new global adaptation goal established by the Paris Agreement (Article 7, para 1) (5) seeks to enhance adaptive capacity, strengthen resilience, reduce vulnerability to climate change and, thereby, contribute to sustainable development. A total of 104 (I)NDCs refer to ‘enhanced’ outcomes, for example:

- “The long-term goal of Ghana’s adaptation is to increase climate resilience and decrease vulnerability for enhanced sustainable development.” Ghana’s NDC (25).
- “Kenya will ensure enhanced resilience to climate change towards the attainment of Vision 2030 by mainstreaming climate change adaptation into the Medium Term Plans (MTPs) and implementing adaptation actions.” Kenya’s NDC (26).

Table 6 is an assessment of whether the 10 (I)NDCs specifically describe ‘enhanced adaptation’ outcomes and enhanced actions to achieve outcomes. The final column provides summary comments in relation to the global adaptation goal.

While some countries present ‘enhanced adaptation’ outcomes and enhanced actions to achieve outcomes, others do not. This may be because those countries that submitted INDCs prior to COP21 did not have a chance to reflect on the new global adaptation goal, although enhanced adaptation was first

- completely unconditional on international support
- Partially conditional on international support
- completely conditional on international support
- No (clear) statement on conditionality

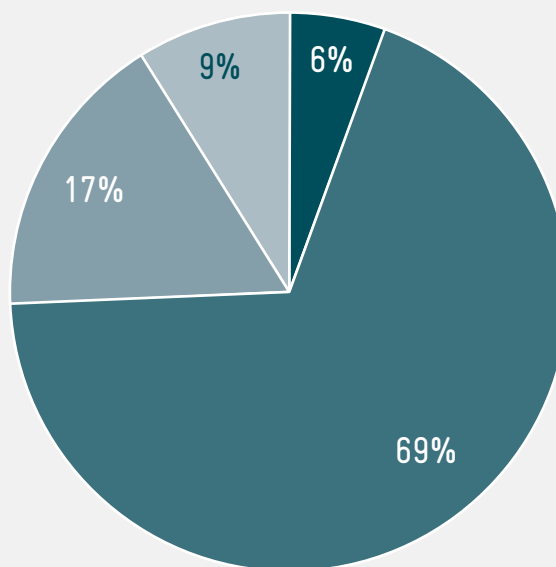


Figure 13:
Conditionality of (I)NDC
adaptation components
(16)

mentioned at COP13⁵⁵ and most countries that have ratified the Paris Agreement have not substantively revised their NDC adaptation component.

Table 6: Assessment of whether the 10 countries’ (I)NDCs describe enhanced adaptation outcomes

Country	Adaptation actions	Comment
Togo (33)	<p>The approach selected by Togo involves the implementation of a portfolio of measures and projects in response to adaptation issues and national development priorities, bearing in mind that adaptation options having mitigation co-benefits will, wherever possible, be given a higher priority than those that do not.</p> <p>Togo states that its INDC is ambitious because it will result in long-term transformations in its key/most vulnerable sectors – energy, agriculture, land use and LULUCF – ensuring a reduction in climate vulnerable populations and environments.</p>	Seeks to ensure a reduction in climate vulnerable populations and environments.

⁵⁵ The objective of the Cancun Adaptation Framework (paras 11-35) is to enhance action on adaptation.

Table 6: Assessment of whether the 10 countries' (I)NDCs describe enhanced adaptation outcomes (continuation)

Country	Adaptation actions	Comment
Malawi (19)	The priority sectors and thematic areas identified are based on national development priorities – agriculture (crops, livestock and fisheries), water resources, health, infrastructure, land-use planning, transport, population and human settlements, disaster risk management, forestry, wildlife, energy and gender. A multisectoral collaboration will apply to all sectors in the implementation of various projects and programmes. The INDC indicates a need for capacity building, research, consideration for disaster risk management and the need to harmonise policies, risk management, forestry, wildlife, energy and gender.	The INDC indicates needs, but the national communication points to activities having been previously implemented.
Vanuatu (50)	Vanuatu presents existing priority actions from its NAPA and the Vanuatu CC&DRR, but does not present any new information regarding future actions.	Neither describes enhanced outcomes nor actions to achieve them.
Grenada (51)	Grenada is undertaking a review of its NCCPAP as part of the NAP process. Its resilience building plan is also in line with regional adaptation strategies.	Progressing identification of enhanced adaptation actions to achieve enhanced outcomes
Mexico (52)	The NDC includes concrete actions and goals to be undertaken from 2020 to 2030 in the following three areas: <ul style="list-style-type: none"> — adaptation to climate change for the social sector; — ecosystem-based adaptation; — adaptation of strategic infrastructure and productive systems. 	National adaptation planning
Peru (17)	Adaptation goals are proposed for each priority sector outlined in the NDC, which will inform the NAP process (ongoing since the last quarter of 2015).	Enhanced adaptation goals and actions
Ethiopia (48)	Ethiopia presents actions aligned to three of the pillars in the CRGE – drought, floods and other cross-cutting interventions – which it states will increase resilience, and reduce vulnerability of livelihood and landscapes.	Enhanced adaptation goals and actions
South Africa (53)	It provides actions related to each of the goals for the 2020-2030 period and is also planning a National Climate Change Adaptation Strategy and Plan to be integrated into all relevant sector plans, and upon which its NAP will be based.	Enhanced adaptation goals and actions
India (55)	The NDC states that India intends to continue implementing existing interventions, while enhancing existing policies and introducing new initiatives. Specifically, India intends to enhance its climate policy framework, which could lead to enhanced actions.	Commitments to enhanced adaptation action
Viet Nam (57)	The NDC adaptation component includes plans developed in accordance with the current situation and projections until 2030. It may be subject to adjustments or supplementations to suit the specific conditions of each time period.	Potential for enhanced adaptation action

8.2.2 Reference to NAP processes in INDCs

Figure 14 presents how many of the (I)NDC adaptation components make reference to climate strategic documents (16). Out of 145 countries that present an INDC adaptation component, 5% refer to their NAP process, 50% refer to other climate strategic documents (including NAPAs), 33% refer to their NAP process and other climate strategic documents, and 12% make no reference to climate strategic documents. NDCs are largely unchanged in this regard with 91% referring to climate strategic documents (16).

Of the 55 countries that mention the NAP process in their (I)NDCs, 28 indicate they have started the NAP process (17 from Africa, 5 from Asia and 6 from Latin America and the Caribbean). The other 27 countries (13 from Africa, 6 from Asia, 5 from Latin America and the Caribbean, 1 from Europe and 2 from Oceania) note that they plan to start with the formulation and development of their NAP processes by 2020. Some countries that have previously reported progress on their NAP process elsewhere, do not mention it in their (I)NDC. For example, Malawi's adaptation component focuses solely on the adaptation measures that are planned or being implemented within priority vulnerable sectors and makes no reference to its NAP process, which has been underway since 2013⁵⁶ with a stocktaking report finalised in 2016 (58). In fact, it is clear from the UNFCCC report released in October 2016 on progress in the process to

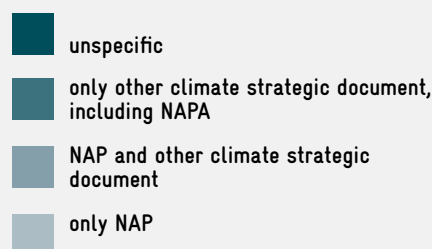


Figure 14:
Climate strategic documents referenced in (I)NDCs (16)

formulate and implement NAPs and from GIZ's own knowledge that nearly 60% of countries with an adaptation component in their (I)NDC have embarked on the NAP process (see dark blue column in Figure 15).

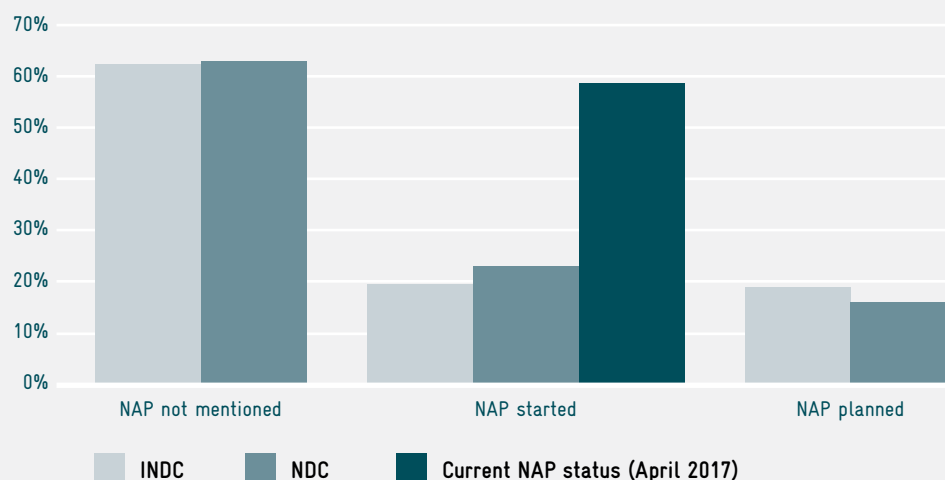


Figure 15:
Proportion of (I)NDCs that mention the NAP process as compared with those known to have embarked upon it (16)

⁵⁶ Malawi's NAP process

Examples of the breadth and specificity of ‘other climate strategic documents’ mentioned in the 10 (I)NDC adaptation components are listed in Table 7.

Adaptation components in the 10 (I)NDCs draw upon a wide range of different climate strategic documents that vary from country to country. These include national frameworks on climate change, environmental policies that incorporate climate change, climate change strategies, climate change legislation

and national development documents. Some countries also mention sub-national climate change documents, including action plans or strategies at the state, municipality or city level. Many of the countries refer to a national adaptation planning document in one form or another (i.e. documents relating to the NAP process or a NAPA where a country was not advancing a NAP process at the time of submitting its (I)NDC).

Table 7: Other climate strategic documents’ mentioned in the 10 (I)NDC adaptation components

Country	Examples of ‘other climate strategic documents’
Togo (33)	<p>Strategy for Accelerated Growth and Employment Promotion (SCAPE) 2013-2017</p> <p>NAPA</p> <p>NEAP process and final document</p> <p>National Environmental Policy</p> <p>National Environmental Management Programme, the National Sustainable Development Strategy (NSDS)</p> <p>National Strategy for Reducing the Risk of Catastrophes in Togo, the National Programme for Reducing Greenhouse Gas Emissions from Deforestation and Forest Degradation (REDD+) (2010-2050), the National Medium Term Priority Framework (NMTPF) for Togo (2010-2015)</p> <p>Agriculture in Togo to Climate Change (ADAPT)</p>
Malawi (19)	<p>NEAP (1994) and NEP (revised 2004)</p> <p>National Communications 2002, 2011</p> <p>NAPA (2006)</p> <p>National Environment and Climate Change Communication Strategy (2012)</p> <p>Malawi’s Climate Change Learning Strategy (2012)</p> <p>National Climate Change Investment Plan (2014)</p>
Vanuatu (50)	<p>NAPA</p> <p>Vanuatu CC&DRR Policy</p>
Grenada (51)	NCCPAP (2007-2011)
Mexico (52)	<p>General Law on Climate Change</p> <p>National Strategy on Climate Change</p> <p>Special Program on Climate Change 2014-2018</p> <p>Climate Change Plans prepared at state and municipality level</p>
Peru (17)	<p>Bicentennial Plan</p> <p>National Plan for Disaster Risk Management</p> <p>Environmental Action Plan</p> <p>Environment Agenda 2014</p> <p>Sectoral planning documents</p>

Table 7: Other climate strategic documents' mentioned in the 10 (I)NDC adaptation components (continuation)

Country	Examples of 'other climate strategic documents'
Ethiopia (48)	NAPA since 2007 The Ethiopian Programme of Adaptation to Climate Change (EPACC 2011) National, regional, state and city administration adaptation plans Sectoral adaptation plans Agriculture sector adaptation strategy Sustainable land management programme Productive safety net programme
South Africa (53)	National Development Plan 2030 NCCRP
India (55)	NEP 2006, NAPCC SAPCC
Viet Nam (57)	Resolution No. 24-NQ/TW on 'Pro-actively responding to climate change, enhancing natural resource management and environmental protection' (2013) Law on Natural Disaster Prevention and Control (2013) NCCS (2011) National Target Programme to Respond to Climate Change (2008, 2012) Action plans at national, ministerial, sectoral and local levels on climate change response and disaster risk prevention and reduction

8.2.2.1 Mention of (I)NDC adaptation goals/objectives in other key documents

Adaptation goals and objectives presented in the 10 (I)NDCs are also found in other adaptation-focused strategies or plans, or are aligned to other national development planning documents (see Table 8).

All 10 (I)NDC adaptation components refer to goals and objectives in other existing national climate change policies, plans or strategies, (e.g. the NCCS in Peru or the CRGE Strategy in Ethiopia). Some refer to their country having integrated adaptation into its national or sectoral plans, policies or programmes. For example, South Africa's NDC refers to its National Development Plan 2030 that guides its sustainable development objectives and sector plans. In some cases, these national/sectoral

plans, policies or programmes also define their adaptation priorities. Therefore, such documents, encompass many features of the NAP process, including aspects of Elements B (preparatory elements – e.g. identification of climate change vulnerabilities) and C (implementation strategies – e.g. criteria for prioritising implementation), which signals countries are to a certain extent aligning their NDCs to existing national adaptation planning processes and the like.

8.2.2.2 Sectoral or thematic patterns

Figure 16 presents the distribution of priority sectors referenced across all (I)NDC adaptation components. It is evident that more (I)NDCs prioritise key sectors such as agriculture, water and health over areas such as finance and insurance, education and waste.

Table 8: Other key documents containing the (I)NDC adaptation goals and objectives

Country	Examples of 'other key documents containing the (I)NDC adaptation goals and objectives'
Togo (33)	Included in the NAPA
Malawi (19)	Frames the INDC in the context of the overall goal of the National Climate Change Management Policy. Other documents are referred to in the context of adaptation actions under specific sectors where adaptation actions are planned (e.g. NAPA for health).
Vanuatu (50)	Links to strategic priorities and actions in the NAPA and the Vanuatu CC&DRR Policy
Grenada (51)	Aligned with a robust NCCPAP
Mexico (52)	Captured in the General Law on Climate Change, the National Strategy on Climate Change and the Special Program on Climate Change 2014-2018
Peru (17)	Framed in the context of the NCCS, the Regional Strategies and the Second National Communication, and refers to objectives in the Adaptation and Mitigation Action Plan against Climate Change
Ethiopia (48)	In line with the CRGE, which is the key document that the NDC adaptation component draws upon. The CRGE is also integrated into the national development plan.
South Africa (53)	Framed in the context of South Africa's 'environmental right' set out in Section 24 of the Constitution, and its National Development Plan 2030 for sustainable development, as well as other sector plans. The NDC draws upon the Vision 2030 within South Africa's 2011 NCCRP, climate-compatible sectoral plans and its NSDS.
India (55)	Framed in the context of the National Environmental Policy (2006), with the national objectives linked to the NAPCC and to the eight National Missions on climate change. Sub-national action is presented through the SAPCC.
Viet Nam (57)	Reflects the NCCS and other strategic documents that present short-term adaptation actions (until 2020) and mid-term adaptation actions (2021-2030)

What is not clear from the information in (I)NDCs is to what extent these sectors map to existing climate strategic documents across all (I)NDCs or if these reflect national planning priorities. Other key sectors that are featured more prominently relate to environmental management, including coastal protection, forestry and biodiversity/ecosystems.

Four of the most prominent sectors across the (I)NDCs (water, agriculture, health and biodiversity/ecosystems) are identified in several (I)NDCs as the 'most vulnerable sectors' or 'priority/key sectors'. Yet planned sectoral activities are not necessarily aligned with them (see Figure 17), so resilience may not be increased to the best effect.

8.2.3 Reference to synergies and co-benefits

'Synergies' and 'co-benefits' are mentioned in 21 (I)NDCs. Costa Rica and Lebanon prominently featured synergies between mitigation and adaptation.

- *Costa Rica made reference to its 'Adaptation Action for 2016–2030', which acknowledges that "synergies between adaptation and mitigation activities are highly desirable" and refers to "opportunities for exploring synergies between adaptation practices and the reduction of emissions through avoided deforestation." More specifically, its NDC highlights examples of these synergies including consolidating*

the National Forest Financing Fund's (FONAFIFO) Environmental Services Payments program and the Forest Certification program to promote sustainable development of forest resources and effective protection of water sources across Costa Rica (59).

- Lebanon's INDC refers to many synergies between its adaptation and mitigation policies. In identifying

that synergies exist, the INDC calls “for a coordinated approach” to climate change planning. Specifically Lebanon's INDC proposes to implement a number of mitigation actions that can also “contribute towards increasing resilience to climate change”, including “planting trees and waste water treatment”, but does not reference any specific activities or programmes that are already being implemented (29).

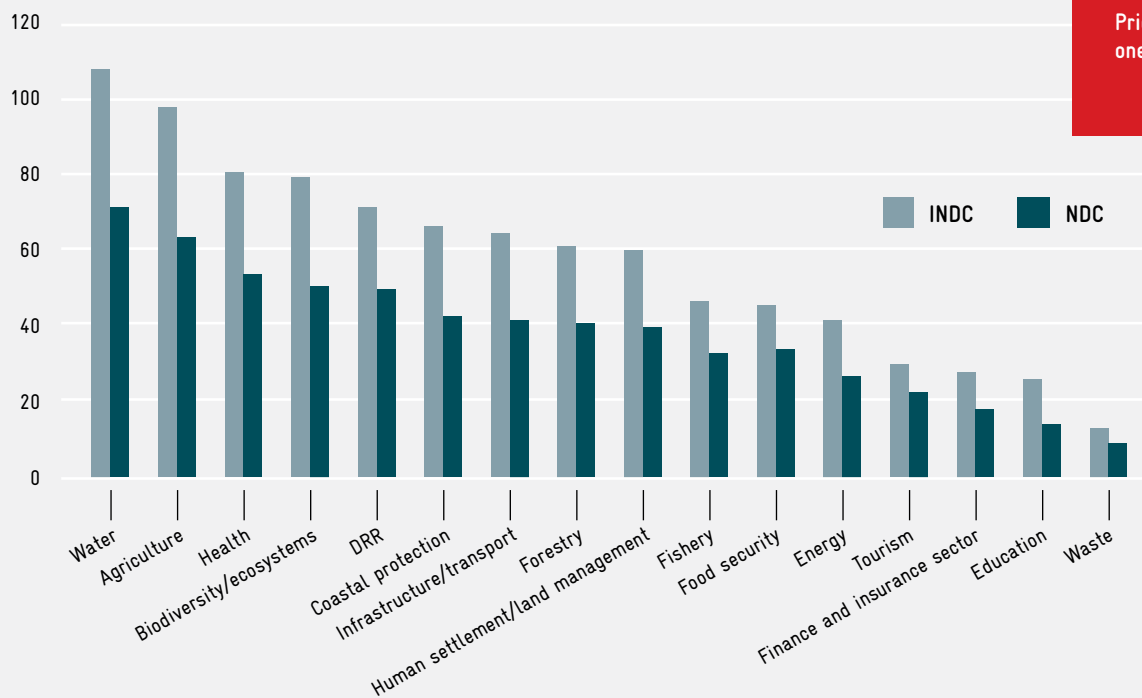


Figure 16:
Priority sectors mentioned in (I)NDCs (16)

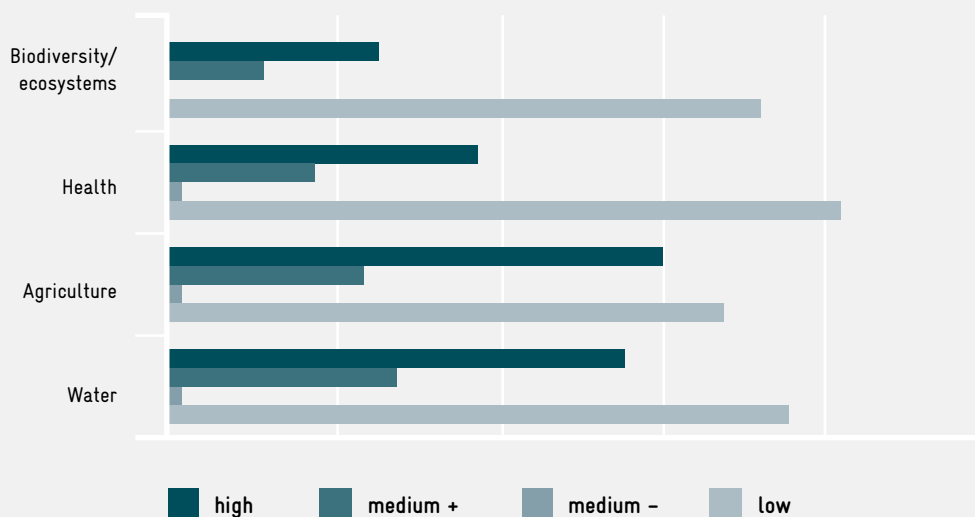


Figure 17:
Correlation between the 'most vulnerable' or 'priority/key sectors' and planned sectoral activities identified in (I)NDCs (16)

References in (I)NDCs to co-benefits between mitigation and adaptation action vary in format and level of detail. Some countries provide broad statements that infer they would seek to capitalise on any co-benefits that may arise from mitigation or adaptation actions. For example, Sri Lanka's NDC states that it will "make extra efforts to build synergies between adaptation and mitigation while capitalising on mitigation co-benefits of adaptation actions." (30) Mongolia's NDC states that "some adaptation activities under [the adaptation] goals will also have mitigation co-benefits." (31)

Some (I)NDCs state that identifying synergies and co-benefits has implications for prioritising actions. For example, Saudi Arabia's NDC sought to delineate between adaptation measures that have mitigation co-benefits and those adaptation measures that "are entirely aimed at adaptation and raising resilience", while stating that "adaptation measures can also contribute to economic diversification." (32) Togo's INDC states that it has defined its national priority as "the development and implementation of an adaptation strategy and options that would have an impact on the mitigation scenarios, in terms of co-benefits." (33) Ghana provides detail at the action level with a range of co-benefits in its mitigation options matrix that link to its broader sustainable development objectives. Other (I)NDCs allude to co-benefits or synergies, but do not mention them explicitly. Bolivia's INDC states that applying an integrated approach to climate change policy for adaptation and mitigation "in the context of overall development plans, is the only way to systematically address climate change, including the links between the different social, economic and environmental dimensions." (60)

8.2.4 Institutional arrangements for (I)NDCs and NAP processes

Table 9 identifies the institutional structures and processes referred to in the 10 (I)NDC adaptation components or linked to adaptation elsewhere in the (I)NDC, and the institutional structures that are in place or being developed through national adaptation planning processes, including the NAP or NAP-like processes, or adaptation plans such as NAPA.

It is clear from the review that countries approached the institutional arrangements for preparing INDCs in a range of different ways. A number of countries clearly aligned responsibilities with existing adaptation planning processes. Some countries coordinated INDC preparation through separate institutional arrangements, such as a committee or task force, with the appropriate adaptation expertise joining that structure. Other countries chose to keep INDC preparation separate from adaptation planning.

There are some cases in which climate change is closely coordinated, for instance where the same ministry is responsible for coordinating work on INDCs and the NAP process, such as Vanuatu and Peru (see Table 9). In other cases, the ministry responsible for the INDC has been closely involved in committees associated with the NAP process or vice versa, such as South Africa, Togo and Grenada. Sometimes the links between ministries that led development of the INDC and ministries coordinating adaptation planning are less clear (e.g. for Mexico and India).

Table 9: Institutional arrangements for (I)NDCs and NAP or NAP-like processes

Country	Institutional structures and processes
Togo (33)	<p>INDC</p> <p>The Ministry of Environment and Forestry Resources coordinated the development of the INDC and engaged with other key sectors including forestry, energy and agriculture.</p> <p>NAP process</p> <p>A technical coordination committee was created on 21 July 2014 to lead the NAP process, and to integrate adaptation into planning and budgeting efforts. This committee was set up by a ministerial decree signed by three ministers:</p> <ul style="list-style-type: none"> — Ministry of Economy and Finance;

Table 9: Institutional arrangements for (I)NDCs and NAP or NAP-like processes (continuation)

Country	Institutional structures and processes
Togo (continuation)	<ul style="list-style-type: none"> — Ministry of Development Planning and Spatial Planning; — Ministry of Environment and Forestry Resources. <p>The technical secretariat is housed in the Ministry of Environment and Forestry Resources, which has a coordinating role and provides the technical framework for adaptation and centralises all actions. It is chaired by the Ministry of Planning and all line ministries are involved, as well as non-governmental organisations (NGOs), civil society, universities and research centres. The committee aims to ensure that adaptation is integrated across all sectors. The committee meets once a month or more often if needed.</p> <p><i>NAP process and INDC are not undertaken by the same institution because a committee was created specifically for the NAP process.</i></p>
Malawi (19)	<p>INDC</p> <p>Malawi's INDC states that it was prepared with the government's full commitment and through an all-inclusive process. A national INDC taskforce was established and the process was launched nationally. The draft was prepared by the national taskforce assisted by national and international experts. A review of national policies and strategy documents was conducted, as well as a series of key stakeholder consultations, including a national workshop for the final validation of the INDC before government final approval.</p> <p>Monitoring and evaluation of the INDC is meant to be undertaken by the Ministry of Finance, Economic Planning, and Development; the Ministry of Natural Resources, Energy and Mining; and other sectoral ministries.</p> <p>The ministry responsible for developing the INDC has not been identified.</p> <p>NAP process</p> <p>The NAP process was launched in 2014 and the Ministry of Natural Resources, Energy and Mining is the responsible authority. A 12-member multisectoral team has a mandate to lead the NAP process and has clear terms of reference. This core team reports to the National Climate Change Technical Committee, which is drawn from experts across critical sectors. Each sector is bound by its own terms of reference, which are consistent with the national vision for the NAP process.</p> <p><i>The INDC was undertaken by an INDC task force and the NAP process is the responsibility of the Ministry of Natural Resources, Energy and Mining.</i></p>
Vanuatu (50)	<p>NDC</p> <p>The (I)NDC was prepared by the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB). The NAB sits within the Vanuatu Meteorological and Geo-Hazards Department. The NAB is made up of representatives from all government ministries and includes civil society and private sector representation. This is to ensure that responsibility for climate change action belongs to all and is not seen as a task for only one government ministry. The NAB, working with the Prime Minister's Office, provides the highest level institutional responsibility for national adaptation in the context of the National CC&DRR Policy. Its website⁵⁷ states: "Vanuatu's NAB is the supreme policy making and advisory body for all DRR and climate change programs, projects, initiatives and activities." The mandate for the NAB was set by Vanuatu's Council of Ministers in 2012. The role of the Ministry of Climate Change, as with the other ministries, is subservient to the NAB.</p> <p>The Ministry of Climate Change needs to develop a long-term plan to guide implementation of its responsibility and the agencies under its remit. Monitoring and reporting of the NDC's adaptation activities will be conducted at ministerial level in close collaboration with the Prime Minister's Office Monitoring and Evaluation Unit, as is the current practice for projects implemented under NAB's oversight. The implementation of NDC priorities will be captured in the Government's Annual Development Report prepared by the Prime Minister's Office. The Ministry of Climate</p>

⁵⁷ National Advisory Board on Climate Change and Disaster Risk Reduction

Table 9: Institutional arrangements for (I)NDCs and NAP or NAP-like processes (continuation)

Country	Institutional structures and processes
Vanuatu (continuation)	<p>Change is also seeking National Implementing Entity accreditation to enable it to apply for funding directly from the Adaptation Fund and potentially other sources, such as the GCF.</p> <p>NAPA</p> <p>The goals mentioned in Vanuatu's NAPA have not been fully achieved due to a lack of financial support and the capacities of the former National Advisory Committee on Climate Change⁵⁸. The NAPA is now overseen by the NAB, the same institution that developed and oversees the NDC.</p> <p>Vanuatu has not yet embarked upon a NAP process.</p> <p><i>The NAPA and NDC are overseen by the NAB.</i></p>
Grenada (51)	<p>NDC</p> <p>Development of Grenada's (I)NDC was a government-driven process. A technical committee was formed as a sub-group of the National Climate Change Committee (NCCC) and comprised relevant ministries, including representatives from the Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment; and the Ministry of Finance's Energy Division. This committee, with the assistance of research institutions, coordinated the process of gathering data, conducting calculations and compiling information. It was also charged with coordinating national stakeholder engagement, as well as gaining Cabinet final approval. The committee met with key stakeholders from key sectors who endorsed the INDC's proposals. Grenada is improving its institutional capacity by selecting climate change focal points in all line ministries and conducting training in climate change risk analysis and general, as well as sector-specific, climate change knowledge. Grenada is also undertaking activities to increase its potential to access international climate funding. The National Designated Authority for the GCF has been formalised and actions to strengthen it are underway.</p> <p>NAP process</p> <p>The NAP process is led by the Environment Division from the Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment.</p> <p><i>The Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment leads the NAP process and is part of the technical committee for the NDC.</i></p>
Mexico (52)	<p>NDC</p> <p>The Secretariat for Environment and Natural Resources and the National Institute for Ecology and Climate Change led development of the (I)NDC.</p> <p>NAP-like process</p> <p>Mexico has a General Law on Climate Change, a National Strategy on Climate Change, a Special Program on Climate Change 2014-2018 and a NAP-like process that is underway.</p> <p><i>Links between responsibilities and processes are unclear.</i></p>
Peru (17)	<p>NDC</p> <p>The Ministry of Environment (MoE), as the national focal point for the UNFCCC, designed the process for development of the (I)NDC. There were three levels of governance:</p> <ul style="list-style-type: none"> — 'Technical and scientific' with experts for calculating emissions, based on technical parameters and the estimation of the costs of mitigation options; — 'Technical and political' with representatives of the ministries linked to the emission sources and mitigation options to gather technical opinions in the framework of political and sectoral plans; — 'High political level' for which a Multi-sectoral Commission (MC) was established at the level of ministers or deputy ministers, responsible for developing the technical report containing the proposed Peruvian INDC (Supreme Resolution No 129-2015-PCM).

⁵⁸ Many projects have been implemented under LDCF and the Special Climate Change Fund.

Table 9: Institutional arrangements for (I)NDCs and NAP or NAP-like processes (continuation)

Country	Institutional structures and processes
Peru (continuation)	<p>The MC incorporated representatives of the Presidency of the Ministers Council and the following ministries – Economy and Finance; Energy and Mines; Agriculture and Irrigation; Transport and Communications; Production; Construction, Housing and Sanitation; Foreign Affairs; Education; Justice and Human Rights; Health; Culture; Development and Social Inclusion; and Environment. The Ministry of the Environment held the Presidency of the MC and assumed the role of Technical Secretariat.</p> <p>NAP process</p> <p>The NAP process began in the last quarter of 2015 and Peru intends that its NAP will comply with its NDC adaptation goals.</p>
Ethiopia (48)	<p>NDC</p> <p>The Ministry of Environment and Forest regularly organises consultative dialogues to review the implementation of national and sectoral plans. It seems likely that it was responsible for developing the (I)NDC. It was not the National Meteorological Agency (see below).</p> <p>NAPA</p> <p>Ethiopia's NAPA was initiated and coordinated by the National Meteorological Agency</p> <p><i>NAPA and NDC are not coordinated by the same organisation.</i></p>
South Africa (53)	<p>NDC</p> <p>The Department of Environmental Affairs acts as the Focal Point for UNFCCC. It has national oversight, coordinates adaptation policy nationally across the ministries, collates relevant information and has a full mandate on environmental aspects. Quite a few individual ministries/sectors have developed their own climate-change response plans.</p> <p>The Department of Environmental Affairs coordinated the delivery of the INDC.</p> <p>NAP-like process</p> <p>The Department of Environmental Affairs is engaged in developing the National Adaptation Strategy (NAS). The NAS will be South Africa's NAP document produced through a NAP-like process.</p> <p><i>The NDC and NAP process are coordinated by the same institution.</i></p>
India (55)	<p>NDC</p> <p>The Union Environment Ministry developed the INDC.</p> <p>NAPCC</p> <p>India has a NAP-like process that operates under a NAP and delivers at the state level under eight missions. It is coordinated by the Ministry of Environment and Forests.</p> <p><i>Links between responsibilities and processes are unclear.</i></p>
Viet Nam (57)	<p>NDC</p> <p>The (I)NDC was developed by the Department of Meteorology, Hydrology and Climate Change; the Ministry of Natural Resources and Environment; and the Viet Nam National Steering Committee for UNFCCC and Kyoto Protocol.</p> <p>NAP process</p> <p>National adaptation planning in Viet Nam takes place at the regional level.</p> <p>The NCCC is chaired by the Prime Minister. The Standing Office of the NCCC is located in the Ministry of Natural Resources and Environment (MONRE).</p> <p>The Ministry of Agriculture and Rural Development (MARD) established the Steering Committee for Climate Change Adaptation and Mitigation in 2007.</p> <p>Several ministries, sectors, provinces and centrally managed cities established steering committees and their support bodies as standing offices.</p>

8.3. Country case studies

8.3.1 Albania

8.3.1.1 How has adaptation planning been undertaken in Albania?

The coordinator of adaptation planning in Albania is the Air and Climate Change Department, which is the NAP focal point within the MoE. The NAP focal point has responsibility for developing and implementing the NAP.

According to the Head of the Air and Climate Change Department (the interviewee), the NAP process is being steered within the framework of the Inter-Ministerial Working Group on Climate Change (IMWG), which is chaired by the NAP focal point. The creation of the IMWG was mandated by the Prime Minister of Albania, by Order No. 155 of 25 April 2014, and its responsibilities include, inter alia, to draft climate-related policies and strategies including the NAP.

The stakeholders involved in the IMWG include the line ministries (e.g. Ministry of Agriculture, Ministry of Urban Development, Ministry of Energy and Trade and Ministry of Health), national agencies (e.g. National Environmental Agency and National Territorial Planning Agency), stakeholders from the educational sector (e.g. universities), and NGOs.

Climate change adaptation was mainstreamed into sectoral and development policies in Albania through the development of the first climate-focused inputs to the National Strategy for Development Integration on 19 June 2015.

A NAP document was developed within the framework of the IMWG during 2015 and 2016. The NAP process in Albania was supported through the GIZ-funded projects ‘Climate change adaptation in the Western Balkans’ and ‘Sector project climate change’. To ensure coherence with ongoing projects of relevance to climate change adaptation, donors involved in similar work in Albania (the UNDP and the European Union (EU)) were closely involved during the process of developing the NAP document.

According to Albania’s 3rd draft of the NAP (June 2016), the steps taken to develop Albania’s NAP process were:

1. *A stocktaking workshop was held in February 2015 where gaps between adaptation approaches and needs were identified.*
2. *Assessment of climate vulnerabilities based on previous assessments (e.g. Second National Communication to the UNFCCC (2009) and sector-specific vulnerability studies for agriculture (2013), health (2011) and energy (2009)).*
3. *Organisation of the NAP process was developed at a participatory workshop on 10 June 2015 where the development of tasks, timelines and responsibilities for the NAP process were established.*
4. *The process for drafting the NAP and a draft table of contents was clarified at a meeting of the IMWG on 8 September 2015. Through interactive debate, the IMWG developed and adjusted goals and indicators for the NAP process during a meeting on 27 November 2015.*
5. *A special workshop on climate financing took place on 7 September 2015 with the National Designated Authority. A training session on climate financing was conducted during a Meeting of the IMWG on 8 September 2015.*
6. *An IMWG meeting on 28 April 2016 consulted on a first draft of the NAP document, which was subsequently amended. The NAP was finalised and launched in June 2016.*

8.3.1.2 What is the status of the NAP process?

Albania launched its NAP document in June 2016 and is working on elaborating its adaptation financing strategy, which is integral to Albania’s NAP document.

8.3.1.3 How was the INDC adaptation component developed and what does it comprise?

Albania’s INDC⁵⁹ (61), does not contain an adaptation component. According to the Head of the Air

⁵⁹ Albania now has an NDC and the content is unchanged from the INDC.

and Climate Change Department, the INDC only focused on mitigation. This was because Albania understood that the primary purpose of INDCs was for mitigation, and the NAP process was initiated in parallel with the INDC's development. However, Albania also acknowledged that there had been insufficient time to include an adaptation component in the NDC and stated that, if necessary, an adaptation component could be included in future versions of the NDC. However, the Head of the Air and Climate Change Department believes this would be redundant as the NAP document fulfils this role and that all countries should be encouraged to develop a NAP document. Albania noted that the working group involved in the development of the INDC has largely the same membership as that of the IMWG. The same line ministries were involved. However, the Ministry of Energy and Industry was the key contributor to INDC development, whereas the Ministry of Agriculture was a key player in developing the NAP.

“ *The NAP process was initiated in parallel with the INDC's development. Both documents [the NAP and the NDC] are understood to be equally important, with one addressing ambitions to reduce greenhouse gases and the other putting forward a process to mainstream adaptation into sector-wide national development planning.*

(Head of Air & Climate Change Department in Albania's Ministry of the Environment)

8.3.1.4 What are the implications of the Paris Agreement for adaptation planning and implementation?

In the Head of the Air and Climate Change Department's view, one of the key outcomes of the Paris Agreement is that adaptation and mitigation are now considered equally important. Therefore, it is believed that the NAP document should receive the same level of attention as the NDC with regards to

assistance provided for its review, implementation and reporting. Furthermore, it was suggested that all countries should be obliged to submit their NAP [or NAP-like] documents to the UNFCCC to enable a similar stocktake to mitigation. This would then mean that there would be no need to include an adaptation component in possible future revisions to the NDC. The NAP is the instrument to advance implementation of adaptation, which is the responsibility of the MoE in Albania. Finally, the Head of the Air and Climate Change Department suggested that, since national communications cover adaptation and mitigation, this might serve as an overarching document that assures linkages between adaptation and mitigation.

8.3.2 Bangladesh

8.3.2.1 How has adaptation planning been undertaken in Bangladesh?

The Department of Environment and Forests (DoEF; the interviewee) of Bangladesh is the coordinator of adaptation planning in Bangladesh, and the Director of Climate Change and International Convention is responsible for national oversight of adaptation, loss and damage within the DoEF. With regard to adaptation planning, the interviewee referred to experience in developing the Bangladesh Climate Change Strategy and Action Plan (BCCSAP 2009), which was the founding adaptation policy document in Bangladesh. DoEF coordinated the development of the BCCSAP by requesting that line ministries (Ministry of Finance, Planning Commission and sectoral ministries for water, agriculture and health) identify and compile adaptation actions. Subsequently, a voting mechanism was developed to prioritise the actions. Through this process, 44 programmes were specified in 6 thematic areas. However, the Director of Climate Change and International Convention felt that policymakers still do not have a clear understanding of the priority adaptation actions, which is hampering implementation. In addition, while DoEF has assessed and ranked climate vulnerabilities across 64 districts, a comprehensive national vulnerability assessment is yet to be undertaken. Finally, it is unclear whether stakeholders, other than the line ministries, were involved in the process.

DoEF was involved in the development of the following policy documents:

1. *NAPA (2005), which addressed urgent and immediate adaptation needs.*
2. *NAPA update 2009, which focused on:*
 - *forestry, biodiversity and land use;*
 - *agriculture, fishing and livestock;*
 - *water, coastal areas, natural disaster and health;*
 - *livelihood, gender, local governance and food security;*
 - *industry and infrastructure;*
 - *institutional and policy issues.*
3. *BCCSAP 2009, which was prepared with support from GIZ and has since been updated, guides the country's adaptation (and mitigation) actions. It is primarily focused on adaptation and addresses six thematic areas:*
 - *food security, social protection and health;*
 - *comprehensive disaster management;*
 - *infrastructure;*
 - *research and knowledge management;*
 - *mitigation and low carbon development;*
 - *capacity building and institutional strengthening.*
4. *Bangladesh's (I)NDC.*

The Director of Climate Change and International Convention noted that while not all ministries have developed adaption policies or plans, there has been some attempt “to increase climate resilience and manage DRR” within their remit.

As adaptation concerns are cross-cutting activities (e.g. agriculture, water and health), the DoEF cannot take responsibility for implementing adaptation actions across all sectors. The DoEF develops adaptation policies, and seeks to integrate them into the planning process and the Development Project Proforma, so that other government ministries and local government need to address adaptation when developing and implementing projects.

8.3.2.2 What is the status of the NAP process?

With support from Norway, a roadmap for formulating a NAP was developed in 2015 by a team of national experts in collaboration with the DoEF and UN

Development Programme. The UNFCCC's technical guidelines for the NAP process were taken into account. The roadmap proposes alternative institutional arrangements for the development of the NAP – an inter-ministerial steering committee, technical advisory committee and core NAP formulation team. Funding is being sought from the GCF to implement the roadmap.

8.3.2.3 How was the INDC adaptation component developed?

According to the INDC⁶⁰ it was “prepared through consultation and dialogue with the Government's Advisory and Technical Committees, which include a range of stakeholders including line ministries, Planning Commission, technical departments, professionals, experts, and the private sector.” The Director of Climate Change and International Convention confirmed that advisory and technical committees were established involving relevant experts from across the ministries, and that the DoEF coordinated development of the adaptation component. However, it was noted that Bangladesh's development of an INDC involved a rapid and partial process which “focused on mitigation” and was too short to be rigorous.

8.3.2.4 What does the NDC adaptation component comprise?

The first NDC (62) states that “the foundation [of the NDC] is Bangladesh's existing strategies and plans, in particular the BCCSAP, Renewable Energy Policy 2008, the Energy Efficiency and Conservation Master Plan, the forthcoming NAP, the National Sustainable Development Strategy, the Perspective Plan (Vision 2021) and the Sixth (and forthcoming seventh) Five Year Plan, the National Disaster Management Plan and the Disaster Management Act.”

The Director of Climate Change and International Convention stated that adaptation options were selected from the BCCSAP and improved upon, but are not a comprehensive reflection of the country's adaptation needs, plans and actions. As previously stated, it was

⁶⁰ Bangladesh now has an NDC and the content is unchanged from the INDC.

felt that the INDC focused on mitigation rather than adaptation and that the NAP roadmap needs to be comprehensively incorporated into the NDC.

The NDC contains estimated costs of key adaptation measures. Bangladesh estimates it will need to invest USD 42 billion from 2015 to 2030 to implement adaptation measures included in the NAPA, BCCSAP, and new adaptation needs for 2015-2030 based on the current NAP roadmap and 7th Five Year Plan. Further details are provided in the NDC.

While the NDC states that all selected mitigation measures are expected to have co-benefits, it is not explicit whether these co-benefits relate to adaptation. The NDC adaptation component *“acknowledges that climate change action requires a holistic approach and further acknowledges that many activities will deliver both adaptation and mitigation benefits”*, and provides examples of actions relating to LULUCF. However, it identifies the need for more analysis before greater consideration can be given to such mitigation-adaptation synergies.

The NDC mentions that *“resources are required from international mechanisms to ensure climate resilient development of the country”* and to support development of a NAP, but no further technological or capacity building needs are identified.

8.3.2.5 What are the implications of the Paris Agreement for adaptation planning and implementation?

The Director of Climate Change and International Convention believes that the Paris Agreement was the first time that it was appreciated internationally that adaptation and mitigation are very closely linked. However, he noted that while mitigation is the priority for developed countries, adaptation is the priority for developing countries.

“*It is important that any future development of the NDC or NAP recognises adaptation is the main driver for developing countries, which can enhance mitigation ambitions.*

(Department of Environment and Forests, Bangladesh)

Looking ahead, the Director of Climate Change and International Convention perceives that the NDC and the NAP are the main vehicles for mitigation and adaptation respectively. Bangladesh is intent on formulating and implementing a NAP, which it seems may be viewed as somewhat separate from implementation of the NDC. However, the Director of Climate Change and International Convention highlights that a benefit of the Paris Agreement is that there are now greater opportunities to secure funding internationally for adaptation (e.g. from the GCF and others).

8.3.3 Jordan

8.3.3.1 How has adaptation planning been undertaken in Jordan?

According to the Director of the MoE's Climate Change Directorate (CCD; the interviewee), adaptation planning in Jordan has been coordinated by the CCD's Adaptation Section, which has acted as the Government's focal point and national coordinator on climate change issues.

The CCD has engaged and consulted with relevant stakeholders (governmental, NGO and private sector) to inform the development of adaptation-related policies and plans. Stakeholders have been consulted directly and through the NCCC, a body comprised of all government ministries (and other institutions), NGOs and the private sector. The NCCC is led and coordinated by the CCD. In addition to stakeholder consultations, analytical reports by experts have been commissioned and key documents reviewed to inform policy development.

The key adaptation-related documents (strategies and plans) that have been produced, and were highlighted in the NDC⁶¹ (23) are:

- *Jordan's Third National Communication (2014), which includes an adaptation component and an analysis of future-climate scenarios;*

⁶¹ Jordan now has an NDC and the content is unchanged from the INDC.

- *Adaptation to climate change to sustain Jordan's Millennium Development Goals achievements (2009-2013), which describes a major adaptation programme across the water and health sectors;*
- *Climate change policy of the Hashemite Kingdom of Jordan (2013-2020), which describes vulnerabilities and potential impacts in relevant sectors, as well as proposed strategic objectives, measures, and instruments to adapt for relevant sectors and themes (water, coastal areas, agriculture and food security, health, tourism, biodiversity, and socioeconomic situation and poverty);*
- *National strategy and action plan to combat desertification (2015-2020), which was recently aligned with the global United Nations Convention to Combat Desertification 10-year strategy and mainstreamed climate change;*
- *National biodiversity strategy and action plan (2015-2020), which was also recently aligned with the Convention on Biological Diversity (CBD) global 10-year strategy and mainstreamed climate change.*

8.3.3.2 What is the status of the NAP process?

Jordan does not yet have a NAP. However, it launched the NAP process early 2017. According to the CCD's Director, the development of the INDC raised the profile of adaptation nationally and the intent is to begin the NAP process following the submission of the INDC. The adaptation-related documents mentioned above will be used as a starting point from which to build.

8.3.3.3 How was the INDC adaptation component developed?

In keeping with how Jordan's adaptation planning has been undertaken, the CCD's Adaptation Section coordinated development of the INDC adaptation component. This was based on a review of all relevant policy documents by national experts and a stakeholder consultation. All relevant government ministries, other institutions, NGOs (e.g. Royal Society for Conservation of Nature with regard to ecosystems) and some private sector stake-

holders were consulted. It is neither known if these stakeholders were consulted through the NCCC nor if they were the same as those previously consulted on adaptation plans. The CCD asked stakeholders for rapid help in identifying adaptation priorities for the INDC and in reviewing the final INDC adaptation component. Specifically, the CCD sought input to a list of priority adaptation actions for post-2020 (building on those proposed in Jordan's climate change policy), the estimated cost of such measures and details of funds already secured or anticipated. As such, Jordan's INDC adaptation component essentially builds upon a summary of the existing relevant national documents, which together encompass Jordan's current adaptation planning.

8.3.3.4 What does the NDC adaptation component comprise?

The NDC adaptation component identifies goals and actions in five key areas – water; health; biodiversity, ecosystems, protected areas; agriculture/food security; and sustainable development-oriented socioeconomic adaptation. According to the CCD's Director, Jordan's priority sectors are water and agriculture.

The NDC provides a summary of key vulnerabilities and adaptation actions proposed to address them. Assistance required to carry out many of these actions is mentioned, including requirements for capacity building and technology, further studies and funding. These actions are consistent with pre-existing adaptation planning as they were identified through a review of existing key documents in consultation with stakeholders. However, the NDC adaptation component was treated completely separately from mitigation and, hence, the NDC does not identify any co-benefits.

8.3.3.5 What are the implications of the Paris Agreement for adaptation planning and implementation?

According to the CCD's Director, the NDC was used as an opportunity to highlight planned adaptation activities and ongoing implementation. Specifically, the NDC was used to provide an update

on progress with implementation of some adaptation actions in each sector, including the stakeholders involved, although not in a wholly consistent manner across the sectors. The CCD's Director also noted that inclusion of an adaptation component in the NDC has allowed Jordan to give more weight to its focus on adaptation for the first time.

“*Jordan's priority is adaptation rather than mitigation. The Paris Agreement and NDC process will allow Jordan to give more weight to its focus on adaptation for the first time.*

(Director of the MoE's CCD, Jordan)

The CCD's Director noted that Jordan's intent to develop a NAP process⁶² will play an important role in providing a formal roadmap for implementing all sectoral adaptation plans. It is anticipated that it will allow a comprehensive overview of adaptation activities, listing of associated financial needs, and the creation of a system for monitoring and reporting progress of these activities at a national level.

8.3.4 Morocco

8.3.4.1 How has adaptation planning been undertaken in Morocco?

Adaptation planning is coordinated by the Adaptation Section of the CCD at the MoE. According to the Head of the Adaptation Section (the interviewee), the MoE is responsible for coordinating adaptation planning at a national and regional level, and “*promotes the development of plans in relation to regional and sectoral strategies.*”

The MoE addresses national and regional levels, and promotes the development of plans in relation to regional and sectoral strategies. It is responsible for engaging with all relevant vulnerable stakeholders and sectors, and holds meetings to update stakeholders on

various topics, such as progressing UNFCCC decisions, national environmental decisions and implementation measures that are available to the MoE. The MoE acts as a coordinator to trigger adaptation work in sectoral government ministries and in some vulnerable regions. It coordinates provision of climate change information from key stakeholders (e.g. government departments, institutions, civil society and the private sector) especially when local knowledge on adaptation is needed.

The Head of the Adaptation Section explained that Morocco is hoping to use development of a NAP as a vehicle for re-organising and formalising institutional arrangements for adaptation planning. The plan is to establish two committees at the national level – one political and one technical (with thematic sub committees). These committees will bring together all relevant sectors, institutions, representatives of civil society, NGOs and other interested parties. The intent would be to encourage a more holistic, interactive and robust approach to developing adaptation plans and policies, and to preparing required studies in a systematic manner.

A large number of documents is mentioned in the NDC⁶³ (22), which form the basis of adaptation planning in Morocco. By sector, these include inter alia:

- **Multisectoral:** *Morocco's Third Communication to the UNFCCC, submitted in 2016, which provides a status report on the country's vulnerability to climate change and adaptation actions being implemented; the National Strategy for Sustainable Development; Morocco's National Strategy to Combat Global Warming; and the National Strategy to Protect the Environment;*
- **Agriculture:** *Morocco Green Plan;*
- **Fisheries and aquaculture:** *Halieutic Plan;*
- **Water:** *National Water Strategy; National Water Plan;*
- **Forests:** *National Strategy for Humid Areas; National Strategy for the Monitoring of Forest Health;*
- **Urbanisation, infrastructure, management of territory:** *National Charter for Territorial Management; National Harbour Strategy;*

⁶² Jordan has since launched its NAP process, however, at the time that the interview was conducted this was still being planned.

⁶³ Morocco is one of the few countries that made changes to its INDC before submitting it as their first NDC. At the time the interviews were conducted Morocco hadn't yet submitted their first NDC

- *Tourism: Vision 2020;*
- *Health: Sectoral Health Strategy.*

8.3.4.2 What is the status of the NAP process?

Morocco has already made substantial progress with all stages of the NAP process. The Head of the Adaptation Section stated that the next step was to use a national workshop to mobilise high-level political buy-in to lay the ground for the NAP process. MoE has requested additional support from the United Nations Development Programme's (UNDP) NAP Global Support Programme to ensure that the NAP will be developed in accordance with the UNFCCC's NAP technical guidelines produced by LEG.

8.3.4.3 How was the INDC adaptation component developed?

The INDC adaptation component was based on the adaptation information developed for the Third National Communication Report, including the identity of the most vulnerable sectors. According to the Head of the Adaptation Section, this information was developed in close collaboration with all relevant stakeholders thereby ensuring the validity of its presentation in the NDC.

8.3.4.4 What does the NDC adaptation component comprise?

The NDC implies that the goals presented were not only drawn from the Third National Communication, but also from a long list of sectoral action plans and policies, a selection of which have been presented above. The NDC affirms that *"In addition, Morocco is currently undergoing a process to elaborate its National Adaptation Plan (NAP), and more broadly its NSSD, to improve its climate change resilience framework."* The adaptation component mentions financial, technological and capacity building needs. Regarding financial needs, the NDC presents an example of short-term adaptation initiatives in the Green Investment Plan, which would necessitate investments of about USD 2.5 billion. However, this does not seem to be a com-

prehensive assessment of the total requirement for adaptation. In addition to financial support, the NDC states that *"Morocco would also benefit from technical and institutional capacity building, particularly regarding the creation of data and knowledge sharing. It also expects to benefit from legal, financial and engineering support pertaining to designing and implementing projects at the regional and local levels, as well as for the monitoring and evaluation of their socioeconomic impacts."*

Co-benefits with mitigation are only implicitly mentioned. In addition, the NDC states that *"Morocco ought to first minimize the risks of [climate change] impacts and invest in adaptation compared to mitigation action"* as it is highly vulnerable to climate change.

8.3.4.5 What are the implications of the Paris Agreement for adaptation planning and implementation?

The Head of the Adaptation Section identified that the benefits from the Paris Agreement for enhanced adaptation action are that it:

- *obliges countries to initiate a NAP process and, thereby, engage in adaptation work;*
- *gives the opportunity to improve ministerial coordination on adaptation, improves access to climate change data, develops expertise at a national level and mobilises climate finance to support existing budgets.*

"...[the Paris Agreement]... gives the opportunity to improve ministerial coordination on adaptation, improve access to climate change data, develop expertise at a national level, and mobilise climate finance to support existing budgets.

(Head of Adaptation Section, CCD, Morocco)

The Head of the Adaptation Section noted that a NDC-NAP linkage would be beneficial as the results of the NAP process could be used to update the NDC adaptation component. It was felt that this would capi-

talise on resources and avoid duplication of efforts. As such, Morocco's next steps for NDC implementation may depend on progress with the NAP process. "Subject to discussions, implementation of adaptation actions may wait until development of the second NDC, which will be based on the NAP, although implementation could start earlier." It was also suggested that linkage could make any resultant plan more attractive to donors.

8.3.5 South Africa

8.3.5.1 How has adaptation planning been undertaken in South Africa?

Adaptation planning is coordinated by the Department of Environmental Affairs. The Chief Director (Climate Change Adaptation) (the interviewee) referred to the process of developing the National Adaptation Strategy (NAS) when explaining the process for adaptation planning in South Africa. In 2014, the Department of Environmental Affairs engaged with the following stakeholders:

- *the Intergovernmental Committee on Climate Change;*
- *the National Committee on Climate Change (which includes non-governmental stakeholders);*
- *the Technical Working Group (which includes representatives from various ministries, and provincial and local government).*

They were consulted on issues such as the priorities to be addressed in the NAS, governance structure, information sources, key players and dealing with uncertainties.

As a result of this engagement, a National Climate Change Adaptation Framework was produced at the end of 2015 and is being used to develop a roadmap for the NAS. A 3-day workshop in September 2016 sought to establish common expectations, and involved UNDP and UN Environment. It also provided capacity building on the use of the UNFCCC's NAP technical guidelines produced by the LEG.

The Chief Director highlighted the existing policy documents and approaches that frame adaptation planning in South Africa. These are:

- *the Intergovernmental Committee on Climate Change;*
- *the National Committee on Climate Change (which includes non-governmental stakeholders);*
- *Sector Departments Legislation and Policies – some ministries/sectors have developed their own climate change response plans;*
- *the National Climate Change Response Policy (NCCRP).*

He also noted that in the process of developing the NAS, South Africa has undertaken various technical studies, including vulnerability assessments, to underpin adaptation planning.

8.3.5.2 What is the status of the NAP process?

South Africa's NAS will serve as the NAP. A draft version of this document was published in September 2016 and stakeholders will be given further opportunity for additional input. A more complete draft of the NAS was expected by the end of March 2017, which is intended for adoption as an official national policy document.

8.3.5.3 How was the INDC adaptation component developed?

Unlike the process for developing the NAS, the process of developing the INDC adaptation component⁶⁴ was led by the Council for Scientific and Industrial Research. According to the Chief Director, the Department of Environmental Affairs was involved along with other key stakeholders from across government and beyond (businesses, NGOs and civil society).

8.3.5.4 What does the NDC adaptation component comprise?

South Africa is one of only a few countries that presents the NDC adaptation component before the mitigation component (53). The National

⁶⁴ South Africa now has an NDC and the content is unchanged from that in the INDC.

Development Plan 2030 was used to identify the six goals for 2020-2030 that underpin the NDC adaptation component, which were costed to identify financial needs. Capacity building and technological needs have not been identified. In addition, co-benefits between mitigation and adaptation have not been explicitly identified.

The Chief Director explained that he considered the NDC to be a high-level strategic document and that the NAS will be a more detailed operational plan, intended to support NDC implementation. However, the NAS will seek to go further than the NDC and implement “additional complementary actions.”

8.3.5.5 What are the implications of the Paris Agreement for adaptation planning and implementation?

The Chief Director noted that the process of developing the NDC adaptation component had raised awareness across sectors of adaptation activities, and boosted national support for adaptation. He also felt that it had supported the integration of adaptation considerations into the planning process across sectors.

“*The process of identifying the NDC’s adaptation components helped to increase the political profile of adaptation and thereby national support.*

(Chief Director, Climate Change Adaptation, South Africa)

As explained, the NAS will be used to implement the NDC adaptation component. Hence, the NAS is expected to realise the strategic priorities identified for the NDC by developing a more detailed implementation plan. The Chief Director stated that when the NDC is reviewed in future, consideration will be given to how the NAS has helped to deliver the NDC and how it can be used to inform development of the next NDC.

8.3.6 Togo

8.3.6.1 How has adaptation planning been undertaken in Togo?

The Climate Change Division of the Environment Directorate of the Ministry of Environment and Forest Resources coordinates adaptation planning in Togo, and provides the technical framework for adaptation.

The Head of the Climate Change Division (the interviewee) referred to the NAP process to explain how adaptation planning is undertaken in Togo. The Ministry of Planning is the chair of the technical co-ordination committee involved in the development of the NAP. The interviewee stated that the committee includes “all line ministries, as well as NGOs, civil society, universities and research centres.” The committee aims to ensure that adaptation is integrated across all sectors.

The technical coordination committee was created in July 2014 to lead the NAP process and to integrate adaptation into planning and budgeting efforts. There were various consultation phases and capacity building for sectoral stakeholders, and it is assumed that inputs from the stakeholders regarding adaptation measures were requested.

Regarding the existing evidence base, the key policy documents framing adaptation in Togo are:

- *the NAPA for climate change, produced in December 2008;*
- *National Communications (2001, 2010 and 2015), which include adaptation actions and studies of vulnerable areas that were developed for the Third National Communication;*
- *the INDC, which summarises the adaptation priorities from the National Communications and highlights adaptation needs.*

Togo followed the UNFCCC’s NAP technical guidelines in the development of the NAP process.

8.3.6.2 What is the status of the NAP process?

Togo’s NAP has been launched. Subsequently, there have been various related consultation phases

and capacity building events for sectoral stakeholders regarding the NAP. The Ministry of Planning and Development developed a guide on integrating adaptation into planning documents. The guide (based on the UNDP adaptation integration guide and the national planning guide of the Ministry of Planning and Development) explains how and where sectors can mainstream adaptation.

8.3.6.3 How was the INDC adaptation component developed?

The Head of the Climate Change Division did not provide details on how the INDC adaptation component was developed. However, the INDC describes the process by which the needs stated in the adaptation component were identified:

“These needs are a response to national concerns expressed by all the actors. They have been quantified and approved through a consultation process and, over and above the national process instituted as part of the launch and steering of the INDC, the different actors involved also met in thematic groups on the most vulnerable sectors. This entailed a prioritization of the sectors and subsectors and the identification of the main priority measures, as well as the conditions of their implementation.”

“For each sector, the approach was to consider the degree of impact on national development priorities such as employment, poverty reduction, increased beneficiary revenue and Gross Domestic Product (GDP), and the positive impact on clean, carbon-lean growth and development, while taking the climate realities of today and tomorrow into consideration. Each sectoral measure was then broken down into a series of operational activities supplemented by an economic analysis to assess the need for financial support.” (33)

8.3.6.4 What does the INDC adaptation component comprise?

Like in South Africa, adaptation is presented first in the INDC. However, the INDC states that “Togo has defined its national priority as the development and implementation of an adaptation strategy and options that would have an impact on the mitigation scenarios, in terms of co-benefits.” Therefore, the ap-

proach selected by Togo in identifying adaptation actions involved *“bearing in mind that adaptation options that also mitigate GHG emissions will be prioritised wherever possible.”* Hence, mitigation co-benefits appear to have been a strong driver in the selection of adaptation actions for the INDC. The INDC’s subsection on ‘Implementation methods’ covers adaptation and mitigation jointly. It lists the requirements for capacity building, technology transfer and financial support.

The Head of the Climate Change Division stated that the INDC adaptation component is consistent with the NAP. Both are based on the climate vulnerability analysis provided in the national communication. However, the NAP contains additional information on Togo’s needs.

8.3.6.5 What are the implications of the Paris Agreement for adaptation planning and implementation?

As mentioned above, the implementation of adaptation and mitigation actions are presented jointly in the INDC. The Head of the Climate Change Division noted that the next step for NDC implementation would be to integrate adaptation into sectoral plans and subsequently request international funding to support their needs.

The Head of the Climate Change Division felt that a key benefit of the (I)NDC development process was that it built the capacity of key stakeholders who gained a better understanding of the harmful effects of climate change and the mechanisms that can be used to fight them. They also identified that another potential benefit of linking NDC and NAPs would be the ability to *“win the trust of partners and gain more credibility. This might lead to a higher possibility of gaining access to funds.”*

“Togo has defined its national priority as the development and implementation of an adaptation strategy and options that would have an impact on the mitigation scenarios, in terms of co-benefits.

(Togo’s INDC, September 2015)

8.4. Expert views from international organisations

8.4.1 What is your role in national adaptation planning?

- *GIZ: Christopher Bartlett is a GIZ staff member who works as a long-term advisor embedded within the Government of Vanuatu Ministry of Climate Change. He has been working to mainstream adaptation in policy since 2010.*
- *UN Environment: Barney Dickson is responsible for taking an overview of UN Environment's role in NAPs and adaptation in three ways – Global Environment Facility (GEF) global support programme for NAP processes, supporting individual LDCs on NAP development and making use of GCF support for NAP development.*
- *USAID: John Furlow is a Senior Climate Change Specialist at USAID who has been involved in adaptation for more than 10 years. He is now the main contact at USAID on NAPs.*
- *FAO: Julia Wolf works in the Climate Change, Biodiversity, Land and Water Department at FAO. She is programme coordinator for the NAP-Ag Programme, which started in 2015 and is focused on integrating agriculture in NAPs.*

8.4.2 Who is responsible for adaptation in the countries in which you are involved and how is it coordinated?

- *GIZ: The cross-government NAB, reporting to the Prime Minister's Office, provides the highest level institutional responsibility for national adaptation, in the context of the national Climate Change and Disaster Risk Reduction Policy (63), which is the key overarching document for adaptation policy. The INDC was submitted in 2015 and Vanuatu ratified the Paris Agreement on 21 September 2016, so the NDC is now the international framing of the country's adaptation priorities, conditional on interna-*

tional support. Vanuatu developed a NAPA in 2007, which guided initial work, but is now largely superseded by the national CC&DRR Policy. Vanuatu has not yet embarked on a NAP process.

- *UN Environment: UN Environment is working in around 40 countries on adaptation, particularly on ecosystem-based adaptation projects (most are funded by GEF, although some are funded bilaterally). Many of these interventions are at specific sites, but also involve close working with the relevant ministry, such as the Ministry of the Environment, Ministry of Forestry and ministries relevant to coastal areas (e.g. Ministry of Fisheries). It varies from country to country how UN Environment is involved in the development of key policy documents. Hence, UN Environment is not contributing to NAP development in all of those countries where it is involved in adaptation projects.*
- *USAID: Responsibility for adaptation varies from country to country. Most countries have a focal point, office or ministry within or as part of the MoE or Office of the Vice President (e.g. Tanzania), which may also have connections with the national weather service. It is important to build relationships between the ministry responsible for climate change (MfCC) and other ministries. By taking ownership, ministries are more likely to ensure planned actions are implemented, with the MfCC ensuring robust planning and delivery⁶⁵.*
- *FAO: FAO's primary client is the Ministry of Agriculture, Fisheries and Forestry or equivalent, which sometimes comprises separate ministries. The MoE may be responsible for hosting cross-sector national adaptation planning, but it can also be the*

⁶⁵ For example, in Jamaica, each of the 12 sectoral action plans is now owned by a relevant ministry, not the MfCC. MfCC provides technical support. By taking ownership, ministries are more likely to ensure planned actions are implemented, with the MfCC ensuring robust planning and delivery. Samoa placed responsibility for oversight of the NAP process with the Ministry of Finance. This seems to be working well as it is placing demands on other ministries to ensure a multidisciplinary approach and quality assurance before providing budgetary support. Jamaica saw a top-down push initially, which was then followed by the development of bottom-up sectoral climate strategies. Senegal has started from a sectoral perspective with the development of a climate-smart fisheries policy. Similarly, Grenada started with sectoral climate strategies and then moved to developing an overarching national plan.

responsibility of other ministries. The key national documents framing adaptation include agricultural policy, climate smart agriculture frameworks and national agricultural investment plans. FAO reviews these documents to assess their consideration of climate change adaptation and other related aspects.

8.4.3 What are the current priorities for adaptation action in these countries?

- GIZ: Priorities are set out in Theme 4 of the national CC&DRR Policy. There are five sub-themes that have grouped together hundreds of priorities identified through stakeholder consultations carried out across the whole territory of Vanuatu. These are:
 - Climate change vulnerability and multi-sector impact assessments;
 - Integrating adaptation and risk reduction;
 - Community-based adaptation;
 - Loss and damage;
 - Ecosystem-based approaches.
- UN Environment: For many countries, including those with which UN Environment is engaging, the key priorities are to understand the NAP process, and identify funding to develop and implement it. The Paris Agreement left adaptation reporting processes quite open and there are different views on the level of flexibility to be required.
- USAID: In general, USAID encourages countries to review their national development strategies to identify key desired outcomes (e.g. from an economic perspective), consider what climate factors are most likely to undermine success (e.g. drought in relation to agriculture) and, thereby, rapidly identify priorities for adaptation action. Common national priorities are agriculture and water, although transport, infrastructure and human security can be important. Jamaica's priorities are agriculture, water, health, fisheries, forestry and energy. Senegal is focused on fisheries.
- FAO: From FAO's perspective, it is vital that adequate funding is dedicated to agriculture and food security. Countries are busy planning, but need to be focused on priority setting (taking account of political, practical and cross-sectoral issues), data availability

and possible maladaptation effects in the sector or for another sector. There is also a need to provide greater evidence of potential solutions, although adaptation options should be reflective of the local context and the need for scaling up.

8.4.4 Please describe the national adaptation planning process in these countries

- GIZ: Planning to enable the implementation of the national CC&DRR Policy is coordinated under the NAB through a task force and committees. It is likely that a NAP Task Force will soon be established. The Government has selected UN Environment as its primary support agency to assist in developing the NAP, and has accessed USD 3 million of readiness and NAP preparation funding from the GCF.
- UN Environment: Role too distant to provide specific details.
- USAID: In parallel with the development of the UNFCCC NAP technical guidelines produced by the LEG, USAID developed its own process – the Climate-Resilient Development Framework. It differs from the LEG guidelines in that it starts with facilitating stakeholder discussion on the development outcomes a country is seeking to achieve and on how climate change may undermine progress. Many countries are working on the NAP process and this way of working is bringing new stakeholders into the process.
- FAO: The importance of NAPs for LDCs is exemplified by the Subsidiary Body for Implementation's draft conclusions on LDCs for COP22 (64). From

⁶⁶ For example, Uganda and Uruguay are developing agricultural sectoral and sub-sectoral components for their NAPs that will feed into cross-sectoral NAPs once in place. Thus, the agriculture sector is at the forefront of the NAP in both countries. Kenya finalised a NAP with agriculture identified as the dominant issue. Nepal has a strong national process to which FAO's work on agriculture contributes. Viet Nam has a more integrated approach to mitigation and adaptation. Burkina Faso has submitted a NAP to the UNFCCC that is integrated across all sectors, but such plans may sometimes be weak on agriculture, depending on how they have been developed.

an agricultural perspective, national adaptation planning processes vary greatly between countries⁶⁶, and many countries will continue to develop their NAP processes over time. There is freedom on how countries report on adaptation (possible channels include NAPs, national communications and NDCs), but ambiguity as to what they report against needs to be resolved if progress towards the global adaptation goal is to be aggregated across countries.

8.4.5 How were these countries' (I)NDC adaptation components developed?

- *GIZ: The adaptation section of the (I)NDC was drawn largely from the national CC&DRR Policy after a lot of consultations. The NDC is conditional on funding and technical support from the international community. The INDC was developed via the NAB, with priorities drawn from the national CC&DRR Policy. UNDP helped to develop the document.*
- *UN Environment: Difficult to comment in detail because of broad role. However, it is clear that the (I)NDC adaptation components vary a lot from country to country and the process by which the (I)NDC adaptation components have been developed also varied from country to country.*
- *USAID: Does not know as only involved superficially in (I)NDCs. However, Jamaica's (I)NDC drew upon work on the country's climate policy, referenced the national development plan (which was USAID's starting point) and described the objectives.*
- *FAO: INDCs were developed within a very short timeframe and adaptation components were voluntarily included by developing countries and in most cases left out by developed countries. NDCs do not necessarily summarise countries' adaptation priorities and ambitions comprehensively. FAO is producing regional papers on what countries have said about agriculture and food security in their NDCs. There is an important need for guidance with clear messages to ensure greater linkage between NAPs and NDCs.*

8.4.6 What are the potential benefits and challenges for enhanced adaptation action in these countries arising from the Paris Agreement and NDC process?

- *GIZ: The Paris Agreement increases Vanuatu's obligation for reporting – at international and national levels. So far, Vanuatu has not needed to draw together the big picture for adaptation, since everyone just did their own bit. A challenge in reporting is the governance and institutional reform needed to enable new ways of working. The next step for Vanuatu will be to embark on the NAP process in earnest, likely in 2017.*
- *UN Environment: The Paris Agreement was very important because it raised adaptation to something like parity with mitigation. NDCs are a core component of the UNFCCC international negotiations, which are now bottom-up and very different from the past top-down process. NDCs provide an opportunity to identify the 'adaptation gap' at a national level (for domestic and international audiences), especially if it is linked to or draws upon a NAP process. International challenges are:*
 - *if all NDCs to reducing greenhouse gas emissions are added together, they will not ensure a less than 2°C rise in global temperatures;*
 - *on the adaptation side, it is difficult to discern an overall picture, as countries' (I)NDC adaptation components are very varied and not easy aggregated.*

Domestically, there may be political barriers to prioritising the NAP process and NDCs. The first round of INDCs were not informed by any guidance on adaptation components. There may be some ambiguity (nationally/internationally) sometimes about where NDCs stand in relation to national planning processes. Countries' next steps in implementing NDC adaptation components should be:

- *understanding the NAP process and securing associated funding;*
- *integrating the high-level goals in NDCs into actual plans, process and policies.*
- *USAID: The Paris Agreement has elevated the profile of adaptation. There is even more energy around*

progressing adaptation as a result. The requirement for adaptation communications and updates to them will maintain focus on adaptation. It is probably too early to see real benefits for enhanced adaptation action by countries arising from the Paris Agreement and NDC process. Potential challenges are that the Paris Agreement and NDC process could simply become an exercise in reporting to satisfy the requirements, and also that countries' expectations of funding from the GCF may exceed the total sum of money available. Challenges to the NAP process are also coordination-related.

- *FAO: Now, recognition of the importance of adaptation has been really uplifted. The NDC is a reference document and provides a helpful voice for the country. It will be important for LDCs to maintain the increased profile of adaptation through linking NDCs with NAPs. Otherwise, the focus on mitigation may be re-established by developed countries. Another potential benefit of linking NAPs and NDCs is that it avoids reporting twice.*

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