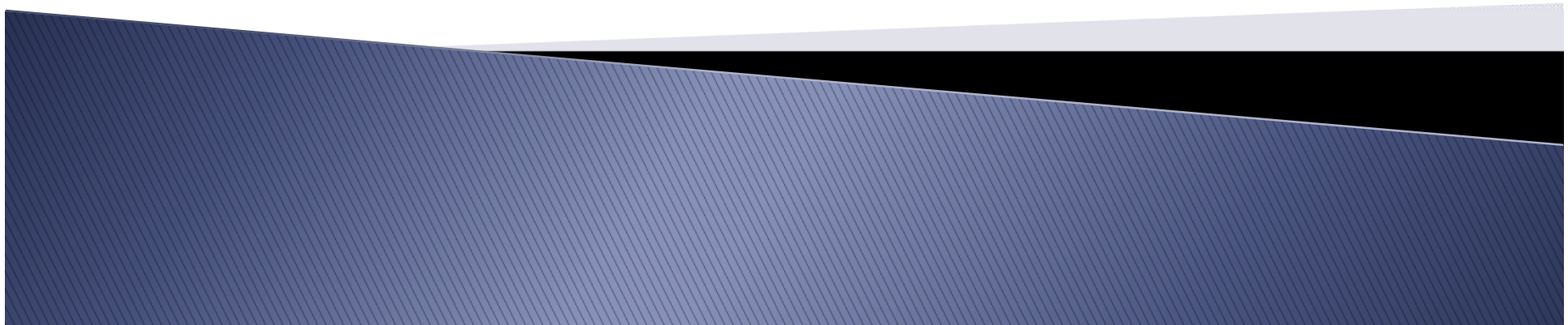


National Adaptation Plans: Enabling Robust Institutional Arrangements for Adaptation

Anand Patwardhan

University of Maryland and
Indian Institute of Technology-Bombay

Adaptation Panel Member, Scientific and Technical Advisory Panel (STAP)
of the Global Environment Facility (GEF)



National Adaptation Plans (NAPs)

- AR5: Adaptation is a long-term process of iterative risk management that will require countries to have in place a set of strong and effective institutional arrangements
- The NAP process could be viewed as a means for countries to (a) assess where they are with regard to these arrangements, (b) design means for creating these arrangements and (c) undertake actions to put them in place
- Each country will have different starting points and varying country contexts, such as the political economy, socio-economic conditions and climate vulnerabilities
- There is guidance for doing NAP's – but what should be the end-point? What should come out?
- In our work, we have tried to map out what countries are doing and how they have done it
 - Would be useful to also understand the “why” – why did countries make the choices that they did

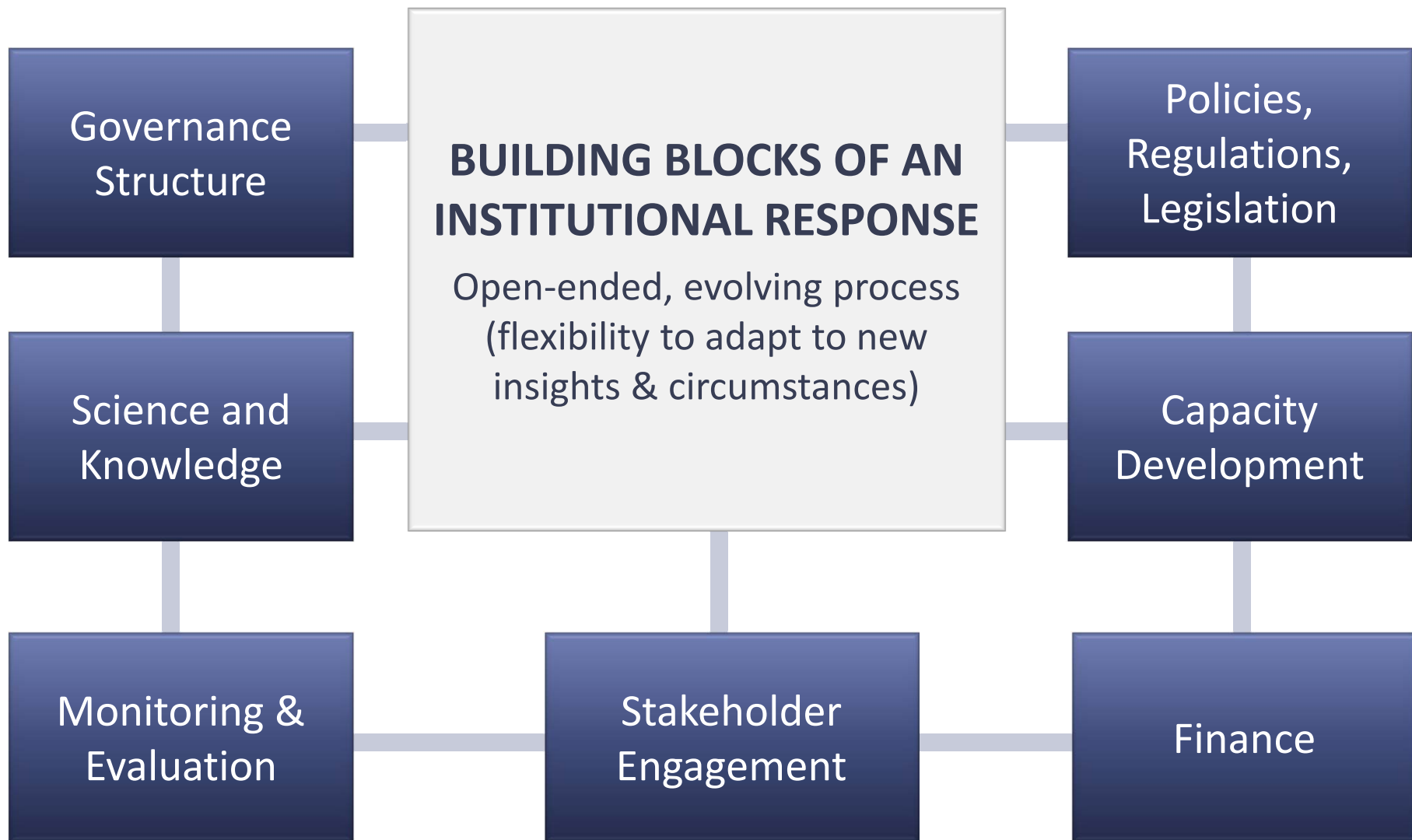
National Adaptation Plans to support National Adaptation Planning: It may be useful to view NAPs as both a **PROCESS** and the **OUTCOMES** of that process:

Process (how): The process through which national adaptation / strategy development was (and is being) carried out, including relevant enabling policies, institutional arrangements, stakeholder engagement and the role of science and knowledge (including assessments of impacts, vulnerability and adaptation)

Outcomes (what): The outcomes of a NAP process, in terms of the attributes and characteristics of the national and sub-national institutional arrangements for mainstreaming and long-term adaptation

On-going work

- Comparative analysis of countries to identify approaches and models being developed to address national adaptation planning
- Case study countries included: Indonesia, United Kingdom, Netherlands, Colombia, Bangladesh, Ethiopia
- **Seven key elements**, or “**building blocks**”, are emerging as common themes across countries in addressing medium to long term adaptation
- While the form of institutional arrangements does (and will) vary according to country circumstances, these building blocks appear similar across countries in providing enabling environments for climate resilient development



Governance

- Guiding entity – where is the adaptation agenda placed at the national level? How does it connect with planning & finance functions? Does the guiding entity have appropriate power and authority?
- Coordination: How is inter-sectoral and cross-scale (local – national) coordination accomplished?
- Conflict resolution: Adaptation might require priority setting and resolving conflicts between multiple objectives and actions. How is this done?

Policies, Regulations and Legislation

- Adaptation may require the adopting of enabling policies – including regulations and legislation. How is this being done?
- In some cases, policies that exclusively deal with climate change (often including adaptation and mitigation) are being developed, while in others, climate change issues are integrated within a broader policy or plan, such as the national development plan or national environmental policies.
- Is there a process for revising and updating policies (such as coastal regulations) over time and with new knowledge?

Stakeholder Engagement (Public and Private)

- How do the institutional arrangements accommodate stakeholder engagement?
- Many adaptation actions are autonomous or driven by private sector → thus engagement with and education for the private sector and general public is an important and strategic activity for national governments

Capacity Development

- Government ministries and public institutions need to build technical capacity across multiple levels of government (local to national)
- Training should extend to business and civil society

Science and Knowledge

- Scientific information plays a central role in adaptation; what is the state of climate adaptation related data, information and knowledge?
- Are scientific and academic institutions in the country engaged in research to support vulnerability assessment and adaptation planning and implementation
- Traditional and indigenous knowledge should also inform adaptation planning where appropriate
- What is the baseline with regard to the use of science and knowledge in key climate sensitive sectors?

Finance

- Is there a recognition that a combination of resources (public and private and domestic and external) will be required?
- Are there arrangements for coordination across these sources?
- Is there a strategy and appropriate institutional arrangements for financing – whether special purpose financing vehicles (trust funds) or general revenues
- Can private investment provide public co-benefits in addition to private returns?

Monitoring, Evaluation and Learning

- Can and how do countries go from project-driven M&E to M&E systems?
- Need to develop a publicly available, time-dependent plan that clearly defines goals, objectives and responsibilities
- Need for countries to track vulnerability and adaptive capacity to climate change and learn from adaptation interventions

Other recent work supports this broad framework

- World Resources Institute (Dixit et al, 2012) developed a National Adaptive Capacity (NAC) framework to highlight institutional functions critical for adaptation:
 - Critical functions include: assessment, prioritization, coordination, information management, and climate risk management
- OECD (2014) highlighted six building blocks required for climate resilient development:
 - Political vision and leadership, mainstreaming into national development planning, strong institutions, awareness/knowledge of climate change science and uncertainty, finance and M&E systems
 - Investigated two country case studies (Ethiopia and Columbia)

Countries are at varying stages in the NAP process:

United Kingdom

- **2008** – Climate Change Act enacted (first country in world)
- **2009** - Publication of the UK Climate Projections (UKCIP09)
- **2011**: Environmental Agency absorbs the role of building adaptive capacity
- **2012**: Climate Change Risk Assessment is released; Climate Local is established
- **2013**: National Adaptation Programme (NAP) report and the Economics of Climate Resilience (ECR) are released

Netherlands

- Adaptation policies follows two parallel interacting tracks:
 - 1) the formulation of a National Adaptation Strategy
 - New National Adaptation Strategy (2016) will amend the 2007 National Adaptation Strategy "Make Space for Climate".
 - 2) implementation of the Delta Programme (re-evaluates water management in the light of long-term sustainable development and climate change)
 - The Delta Act entered into force on 1 January 2012
 - Delta Programme created in 2010, and schedules in 3 implementation phases from 2013 to 2017

Countries are at varying stages in the NAP process:

Indonesia

2005: Sea level rise and agriculture assessments are reported

2007: The first National Action Plan Addressing Climate Change is published

2008: National Council on Climate Change (DNPI) is established (via law)

2009: Development Plan (RPJM 2009-2014) includes climate change

2009: Indonesia Climate Change Trust Fund is established

2010: Capacity Development for Climate Change Strategies in Indonesia was started

2012: Climate Change Coordination Team is established (via law)

Bangladesh

- Work to increase resilience to natural disasters since 1970s
- Integrated Coastal Zone Management Policy of 2005 (ICZM): policy transcending individual sectors and enhances coordination between governing entities
- Created the Bangladesh Climate Change Trust Fund, the Bangladesh Climate Change Resilience Fund, and the Climate Change Unit during the NAPA process
- Climate Change Strategy and Action Plan of 2008 (further updated in 2009)

Observations from country pathways

- Evolving process, responds to changing circumstances and priorities
- Assessments and strategies are revisited, on a fairly consistent ongoing basis
- Linking short-term decisions with long-term strategies
- Developing a strategy is not an overnight process, each country will follow a different pathway that responds to the local context, climate risks and the needs of communities, businesses and the government
- The underlying political economy often determines the choices that will be made for the process – and the outcomes

Can we use a tracking tool or scorecard based approach to assess the progress of countries in their NAP process? Can such an approach be linked to other, existing tracking tools, such as the PPCR M&E system?

NAP projects are coming

- Project concepts (PIF's) under submission to the LDCF
- They address various aspects of all the “building blocks” - science/knowledge, M&E, capacity building, finance, governance, and policies
- Unlike the NAPAs, none of the NAP PIFs to date have a specific programme document as output

Challenges in thinking about NAP Projects

- Difficult to identify baselines and the additional cost reasoning for adaptation. Grey area between development and adaptation increases
- Very broad range of activities
- Without a NAP Plan (document), there is no clear vision on how the country plans to address all of the key building blocks.
 - Activities in PIFs are all within the realm of addressing these building blocks, but there lacks an overall vision for how country will address long to medium term adaptation
- Completion of a NAP project does not signify the completion of the “NAP” process for countries. It is only the starting point towards an open-ended process.
- But how do NAP projects differ (or do they differ?) from other mainstreaming adaptation projects?
- What is an appropriate results-based management system for NAP projects?

Some concluding thoughts

- Good idea, but view in the context of the long-term institutional arrangements (building blocks)
- As we move towards NAP projects, perhaps we are missing a couple of steps:
 - Self-assessment / diagnosis
 - Strategy development and process design
- Perhaps the role of a NAP document would be to indicate this diagnostic step and then to provide an overall vision of what the planning process will look like?
- Specific NAP projects could then support individual elements of these building blocks
- It is also likely that going through this process will enable countries to better identify their needs, and consequently enhance demand for concrete adaptation projects to address those needs