

Adaptation Committee

Meeting between members of the Adaptation Committee's National Adaptation Plan Task Force (NAP TF) and representatives from UN agencies, relevant multilateral and bilateral organizations and NGOs supporting the NAP process

Bonn, Germany, 26–27 September 2014

Report of the NAP Task Force to the Adaptation Committee

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Adaptation Committee

1. Introduction

1. At its 4th meeting, the Adaptation Committee (AC) established, in accordance with its rules of procedure, a task force on national adaptation plans (NAP TF) to serve as the panel within the AC that continuously considers issues related to national adaptation plans (NAPs). The task force consists of a subset of the members of the AC and one representative each of the Least Developed Countries Expert Group (LEG), the Standing Committee on Finance (SCF), the Technology Executive Committee (TEC) and the Green Climate Fund (GCF) Board. In 2014, the task force developed a work plan, taking into account the activities in the AC's work plan and the modalities and activities identified through the AC's work in 2013. This work plan was adopted by the AC in May 2014.¹

2. Activity 2 of the work plan foresaw the organization of a two-day meeting between NAP TF members and representatives from UN agencies, relevant multilateral and bilateral organizations and NGOs supporting the NAP process, at the margins of AC6.² The deliverable of this meeting, as identified in the work plan, was the identification of strategic efforts to address gaps and needs encountered by developing countries when undertaking the NAP process. The meeting was to build on outputs from activity 1 of the NAP TF's work plan, among others. Activity 1 includes the regular engagement of Parties, relevant multi- and bilateral organizations and NGOs to:

- a) Take stock of past and ongoing activities in support of national adaptation planning;
- b) Define and subsequently discuss progress in the NAP process, including as it relates to support provided and efforts undertaken at national and subnational levels towards the objectives of the NAP process;
- c) Track issues, including gaps, needs, good practices, and obstacles faced by countries, and identify solutions with relevant partners, among others.

3. The NAP TF, in organizing the meeting, noted that this meeting alone would not be able to fully identify strategic efforts to address gaps and needs encountered by developing countries when undertaking the NAP process, but that it needed to be seen in the context of several activities and events that would jointly contribute towards this deliverable (including, e.g., the NAP Expo 2014, the workshop of the AC in collaboration with the LEG to share experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs, mandated by SBI 40,³ the workshop by the AC on means of implementation to be organized in early 2015, among others). The NAP TF therefore decided that this meeting would focus on support for NAPs and on elements and/or a roadmap towards a strategy on efforts to address gaps and needs encountered by developing countries when undertaking the NAP process, including next steps for the task force.

4. The meeting was centred around a discussion on experiences and challenges faced by the participating organizations and agencies when supporting the NAP process. The following questions served as input to the discussion:

- a) How are agencies approaching NAP support and financing it? How can countries access finance from these agencies for NAP support?
- b) Are agencies delivering NAP assistance through programmatic and/or project support? What are implications of project-based support for the NAP process? What has been the agencies' experience with providing flexible support, what are barriers and challenges?
- c) How does existing adaptation support from agencies contribute to the NAP process? Based on the interaction with countries, what is different about the NAP process as compared to other development/adaptation work from the perspective of those who provide support? What are the challenges and opportunities?

¹See <http://unfccc.int/files/adaptation/cancun_adaptation_framework/adaptation_committee/application/pdf/nap_tf_workplan_7june14.pdf>.

²See <unfccc.int/8467.php>.

³ FCCC/SBI/2014/8, paragraph 106.



- d) How could collaboration between different agencies be further developed and promoted? How can the AC assist such a collaboration to help enhancing coherence of the NAP process?
5. Not all of these questions were addressed or discussed in detail.

2. Proceedings

6. The meeting was held from 26 to 27 September 2014 in Bonn, Germany, preceding the sixth meeting of the AC. It was organized by the AC's task force on NAPs (NAP TF) and the secretariat. The meeting was chaired by Mr. Tomasz Chruszczow, lead of the NAP TF.

7. Participants included 9 members of the NAP TF, including the representatives of the LEG, the SCF and the TEC, and 17 representatives of UN agencies, multilateral development banks, regional organizations, bilateral agencies and NGOs that are active in NAP support. All participants were informed by a background paper summarizing the current scope of technical and financial support for NAPs.⁴

8. The opening of the meeting was followed by a sharing of expectations for the meeting by all participants. The subsequent session included four presentations⁵ on:

- a) The history of the NAP process under the UNFCCC;
- b) An overview of support provided by the LEG;
- c) An overview of support provided by the Global Environment Facility (GEF);
- d) Support provided to the NAP process in Malawi.

9. The remaining session of the first day of the meeting was dedicated to a discussion on issues, questions and challenges faced by the participating organizations and agencies in supporting the NAP process, guided by the questions outlined above.

10. The second day started off with a brief summary of day 1, followed by a presentation⁶ of experiences with the NAP Global Support Programme for LDCs by UNDP and UNEP and a subsequent discussion on how the upcoming NAP Global Support Programme for non-LDCs could be designed.

11. Thereafter, participants split into two breakout groups, one to discuss coordination and cooperation to enhance coherence in NAP support and the other to discuss how to enhance efforts to support the NAP process in general. Both groups presented their findings to the plenary.⁷ The meeting closed with a feedback round during which participants shared their main take-home messages as well as ideas for next steps for the NAP TF and the AC in enhancing NAP support.

12. Overall, the meeting was evaluated as very successful by all participants due to its targeted setting focusing only on supporting organizations, and its agenda that kept presentations to a minimum and allowed for open and informal discussions. Many participants also underlined that the meeting had helped them to develop a clearer picture of the NAP process, including the required crosscutting and integrative nature of adaptation efforts at the national level. Participants agreed that further meetings of this kind would be useful. These might also benefit from the engagement of a professional moderator and a reflection of the outcomes in a graphical form.

3. Analysis of key issues addressed at the meeting

13. The following were the key issues, questions and challenges in supporting the NAP process that were discussed at the meeting:

3.1 The need for generating buy-in for the NAP process at key levels

14. Many participants noted that awareness and a clear understanding of the NAP process at the national level are still absent in many countries, leading to a lack of the required political leadership. It was repeatedly stated that leadership at the highest political level to initiate and drive the NAP process is key, in addition to ownership of the process at all other levels; the reason being that, unlike in traditional sectors where sectoral

⁴ The background paper is available at <unfccc.int/8858.php>.

⁵ The presentations are available at <unfccc.int/8858.php >.

⁶ The presentation is available at <unfccc.int/8858.php >.

⁷ The presentation is available at <unfccc.int/8858.php >.

ministries champion the respective work, there is no natural champion for adaptation to climate change due to its cross-cutting nature. Underlining the current lack of such leadership, bilateral agencies pointed to a low level of requests by individual countries for NAP support. Although this contrasted with the high demand for support under the NAP Global Support Programme implemented by UNDP and UNEP in partnership with other organizations and agencies, a general need for generating political buy-in for the NAP process at key levels was identified. Proposals on how to generate such buy-in included:

- a) Translating the negotiations and discussions on the NAP process at the global level to information relevant at the national level by e.g. linking the NAP to national development goals and priorities, such as water and food security;
- b) Linking the NAP process to other tangible concepts such as:
 - i. The United Nations Development Assistance Framework (UNDAF) process that aims at linking all development activities to the national plan through which support is channelled; or,
 - ii. The risk management/resilience process, acknowledging that adaptation essentially revolves around climate risk management;
- c) Aligning programme priorities of bilateral agencies so as to include adaptation, and helping countries to generate requests for support;
- d) Making the economic case for adaptation, by ensuring relevant messaging and sensitization to policy makers and the private sector about what would happen if climate risks are not successfully incorporated into planning – the private sector (e.g. insurers, reinsurers) could be a powerful driver of risk reduction and generate the required buy-in; and sectoral budget cycles could provide an effective entry point to climate proof future programming;
- e) Helping countries to internalize the NAP process and appreciating its benefits by communicating and sharing relevant information and key components and characteristics of the NAP process, including on important concepts such as mainstreaming and climate proofing, potentially with the support of science, the media and civil society.

3.2 Raising opportunities for collaboration/coordination

15. Participants acknowledged that the NAP process requires collaboration and coordination at different levels and among different stakeholders:

3.2.1 Among bilateral and multilateral agencies and institutions

16. Bilateral and multilateral agencies and institutions each explained their internal set-ups and procedures for development cooperation in general and for supporting the NAP process in particular. Thereby they revealed constraints and limitations that each of them faces. The GEF, for example, underlined its challenge to provide long-term funding, e.g. for a programmatic approach to NAPs, due to the unpredictable nature of donor contributions. Bilateral agencies reported on the demand-driven nature of their support and that they operate under partnerships with the countries, sometimes lasting for about ten years and usually focused on particular regions. They also face funding constraints, and sometimes face challenges with regard to the coordination between headquarters and country offices given the large size of some of the organizations and the relative autonomy of country offices when it comes to programming. This challenge becomes particularly obvious when there is a need for translating new concepts or approaches, such as climate proofing or mainstreaming, into country-level action.

17. Considering these constraints and different sorts of support offered, it was suggested that there should be a much higher level of coordination and complementarity between supporting organizations. The shorter-term nature of GEF support could, for example, be complemented by a more continuous support by bilateral agencies under their partnerships with countries, thus adequately reflecting the iterative nature of formulating and implementing a NAP. In addition, regional foci of bilateral agencies would need to be complemented effectively, making the available support programmes and their complementary nature better known to countries. Within a country, agencies would need to work through their country offices in order to generate awareness and buy-in for the NAP process in relevant sectoral ministries in order to contribute to a higher level of requests for individual NAP support. The NAP could serve as a platform for this type of coordination and information sharing using, for example, instruments such as donor roundtables.

18. At the end of the meeting, several bilateral agencies announced that they would do their homework and

work on a possible network or similar set-up to better coordinate NAP support at headquarters as well as country level.

3.2.2 Among various support streams and ministries at the national level

19. Participants also discussed how different funding streams at the country level that are not officially labelled as adaptation funding could be integrated in order to support the NAP process. Important sectoral funding streams that were mentioned in this regard included those that support environmental planning, food security and agriculture, among others. They also mentioned that coordination and communication would need to take place between the funding agencies, their country offices and the countries' various ministries, in order to incentivize such integrated approaches and to advance from working in silos. They noted that the consideration of the NAP process as an overarching process that integrates several sectoral workstreams would be helpful, relaxing the focus on specific NAP products. In addition, donor-coordination, integrated funding and clear information about the NAP process and its benefits for national policy-makers were regarded as essential.

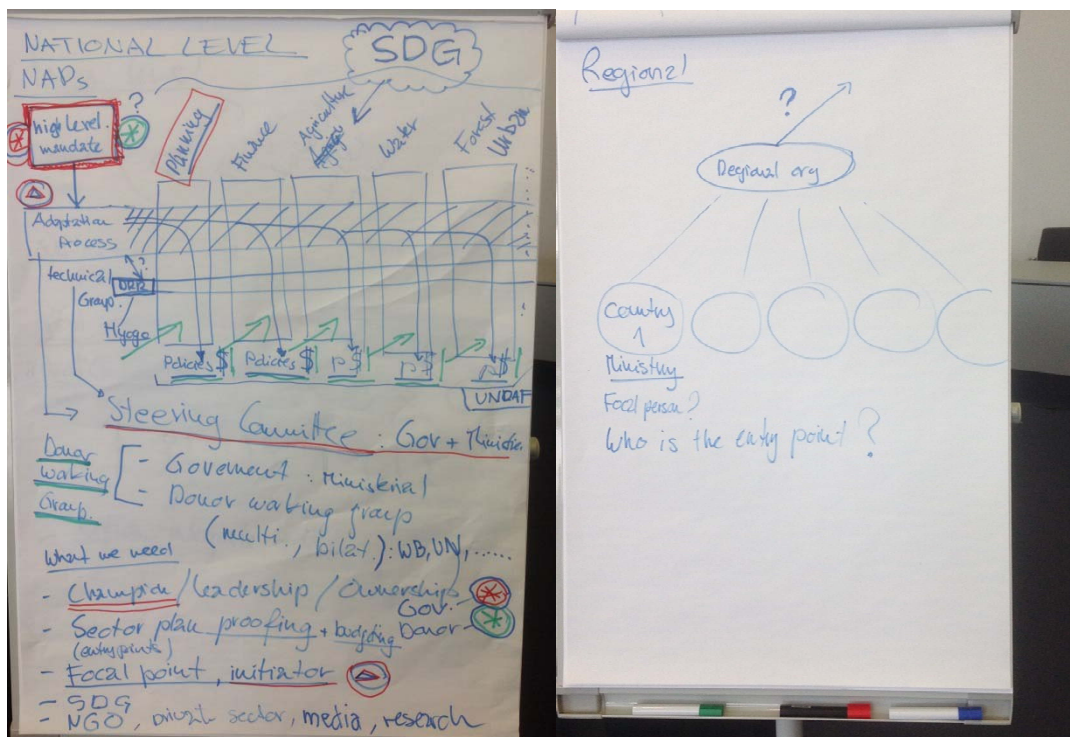
20. Participants shared the view that similar coordination was needed at the subnational level, e.g. cities, in order to create clarity about the NAP process and ensure complementarity.

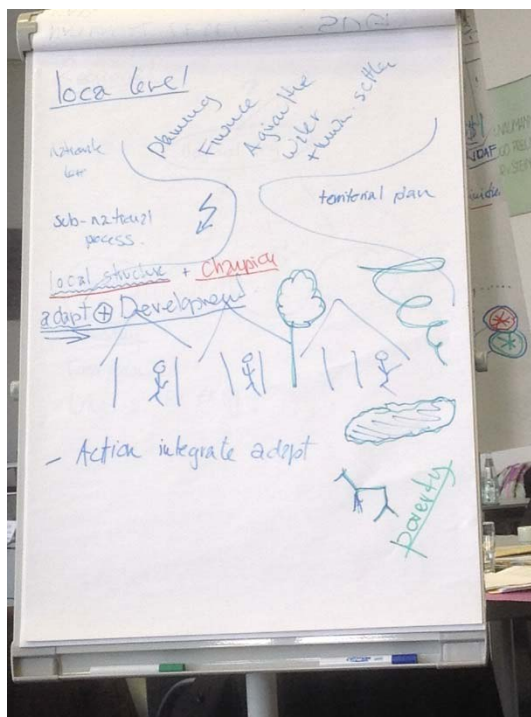
3.2.3 Among different groups of countries and regions

21. In terms of coordination and cooperation, participants emphasized that south-south collaboration is growing in importance under the NAP process, as learning and sharing of experience is key. The potential roles and responsibilities of regional organizations, centres and authorities in facilitating such collaboration and in sensitizing interest of the NAP process were discussed in this regard. Regional organizations shared the challenge to identify the right contact or focal point at the national level of each country that would serve as a communication line between the regional and national levels and be accessible for regional initiatives.

22. The following graphics were used in an attempt to capture the discussion in the breakout group on coordination and cooperation, which also helps in understanding the integrative nature of the NAP process:

Figure 1: Graphic representations of the NAP process at the national, regional and local levels





3.3 Making delivery of support more efficient and effective

23. Considering the fact that a discrepancy had been noted between the low level of requests for individual country support for the NAP process and the high demand for support under the NAP Global Support Programme, it was recognized that available support must not only be better coordinated, but also made better known to countries. Thereby it was underlined that such support should not only be channelled towards the integration of adaptation into development but also to the development of policies and programmes for the implementation of adaptation action. In addition, capacity building was regarded as a need, focusing on peer-to-peer learning and practical aspects of the NAP process such as the stocktaking and mainstreaming. A greater role for multilateral development banks and other types of financial institutions was discussed in the context of delivering support for the process. In this regard, participants also mentioned that countries would need support in getting ready to access funding from the GCF. Linking to the process of technology transfer and the work of the Climate Technology Centre and Network (CTCN) was seen as an opportunity to making delivery of support more effective. In addition, a stronger involvement of the scientific community, particularly in the various assessments required for the NAP process, was called for.

3.4 Enhancing learning, continuity and institutions

24. The experience shared at the meeting revealed that learning, continuity and institutions are three important and related aspects of the NAP process that also deserve special attention in the context of providing support. Their importance was referred back to the early stage of the NAP process and its complex, long-term, iterative and integrated nature that will require long-term institutions and processes, learning by doing and building on experience over time.

3.4.1 Learning

25. Participants emphasized that learning had not formed part of the national adaptation programmes of action (NAPA) process, underlining the need for adequate support for learning within the NAP process. Experience from the Adaptation Fund (AF) showed that learning could best be achieved through supporting country ownership and encouraging the sharing of information among different national ministries. One participant mentioned that experiences from stresses other than those arising from climate change (such as other types of disasters) should form an important component of the learning process and that existing knowledge and capacity would need to be linked for the NAP process.

26. Learning was also mentioned as being closely related to the monitoring and evaluation of adaptation. The

question was raised how the set-up of a robust architecture to monitor and evaluate the NAP process could be supported at the national level, including relevant indicators. The LEG reported on a tool for measuring progress, effectiveness and gaps in the NAP process that it is currently developing. It pointed out that this tool will only help to monitor the process as opposed to outcomes of the NAP process. The GEF explained that, in line with its mandate to provide evidence of its progress in supporting the NAP process, it had just developed indicators and a methodology to collect evidence on the degree to which the policies and plans it supports contribute towards the NAP process. Part of these indicators are those that have been incorporated at the programme level (e.g. number of direct beneficiaries, number of people trained, number of national and subnational agencies/ institutions strengthened, number of national policies/plans/frameworks strengthened/developed, etc.). In the future, these will be complemented by an additional layer of monitoring and evaluation which will assess whether the funded training is actually advancing progress in adaptation on the ground. A member of the Scientific and Technical Advisory Panel of the GEF added that the monitoring and evaluation of adaptation (M&E) work would also need to assess whether projects are actually contributing to addressing medium- and long-term adaptation. Many participants demonstrated interest in learning more about the definitions of these indicators and those used by the LEG and others. It was emphasized that learning should be institutionalized, and that support for a monitoring and evaluation of adaptation architecture at the national level would need to be provided that allowed for the monitoring and evaluation of the process as well as its outcomes.

3.4.2 Continuity

27. In terms of continuity as an important aspect of the NAP process, the challenge on how to define baselines for the NAP process was brought into the discussion, given that the NAP process will embrace and build on existing adaptation activities. Several participants reported that it was difficult to differentiate activities that contribute towards the NAP process from other existing work on adaptation. The GEF outlined that several of the projects it currently supports already address the two objectives of the NAP process. It underlined that projects funded by other agencies also contribute towards the NAP objectives and that they would therefore be in favour of a moving baseline.

28. In this context, participants also discussed stocktaking as a key component of the NAP process which would need to be improved in order to effectively identify activities and achievements in adaptation to date and what could be learned from past and ongoing processes. This would subsequently also inform on the right entry points for adaptation, where to mainstream it and how best to provide support.

29. With respect to the concept of mainstreaming or integrating adaptation into development as part of the NAP process, several participants related difficulties in understanding its actual meaning and ways to operationalize it. Based on their experience, some participants shared their views on how mainstreaming could be operationalized. This included the notion that mainstreaming entails a set of institutions that have engaged collectively in a process. Another facet emphasized adaptation as an ongoing process of how to respond to climate risk in which learning from responses is critical. Actors and institutions would need to be appointed to ensure that adaptation is mainstreamed, whether into the high-level political leadership perspective or the fiduciary perspective or others, underlining again the important role of institutions.

30. The Malawian case study provided one example of how mainstreaming could work in practice. The multisectoral NAP team that has been set up draws its 12 members from experts across critical sectors who are continuously assigned to the NAP process and who spearhead sectoral activities for which individual terms of references are designed that are in line with the national vision for the NAP. The entry points for the NAP process were discussed immediately after its launch, taking into consideration the political economy of the country, including existing policy, planning, strategic and budgeting processes. Technical and institutional needs and priorities to support the mainstreaming of medium- and long-term climate change adaptation into existing national and sub-national planning processes were identified and summarized into the NAP roadmap.

3.4.3 Institutions

31. Effective institutions were identified as indispensable for learning and continuity. Such institutions would facilitate information and experience sharing, constitute the institutional memory of the process and ensure an overall adaptive and flexible process involving all relevant stakeholders. Institutions would also ensure the monitoring and evaluation of the process as well as the integration of adaptation into all relevant sectors.

32. One participant underlined the importance of any emerging institutional setup to meet the requirement of being long-term. Long-term institutional setups would need to be created by generating vested interests in key

actors and by providing an adequate support mechanism through the NAP process. Leadership at the national level was again regarded as a key component of effective institutions by all participants underlining the requirement to generate buy-in for the NAP process at the national level, as mentioned above. The Malawi case study had shown that country ownership is crucial, not only in providing national leadership for the process but also in ensuring learning from the process. As mentioned above, in Malawi the process is driven by a 12-member multisectoral team that is guided by a mandate and clear terms of reference. This team is focusing only on the NAP process and reports to the National Climate Change Technical Committee. Beyond the NAP process and through the national climate programme, Malawi has set up a steering group at the ministerial level that consists of all relevant ministers and sectors, and which drives all climate action including adaptation. This steering group regularly reports to the donor working group in Malawi which consists of representatives of donor institutions and the government, and which oversees all development cooperation issues. Supporting organizations that are involved in the Malawi NAP process reported that this has actually been a very successful case, particularly because of Malawi's efforts to involve all relevant sectoral ministries in climate action. The case study served as a useful reference case throughout the discussions at the meeting.

4. Ideas for next steps for the NAP TF as well as the AC in facilitating enhanced support for the NAP process

33. During the discussions at the meeting as well as in the final feedback round, the following ideas were shared that could provide next steps for the NAP TF and/or the AC in facilitating enhanced support for the NAP process:

- a) Repeat this type of meeting, potentially co-hosted by a bilateral/multilateral agency to attract wider range of participants, including high-ranking government officials;
- b) Focus the next meeting on particular aspects of the NAP process that could be discussed in greater depth, e.g. private sector involvement in the NAP process;
- c) Assist in further developing the theory of change of the adaptation process;
- d) Help in packaging information about the NAP process into different types of messages that would reach particular target groups (government, national, local level and financial institutions);
- e) Engage with institutions that have started initiatives on countries' readiness to access GCF funding, and explore how more countries can benefit from such initiatives;
- f) Engage with the GEF and the GCF, as well as other bodies, to advance the effective provision of finance and other means of implementation;
- g) Facilitate coordination at all levels, e.g. by bringing together multilateral/ bilateral agencies that operate at the country level, and facilitate coordination by regional institutions;
- h) Explore NAPs in the wider economic context, including in regard to the relevance of the private sector;
- i) Support the sharing of information, including on the type and coverage of available support, thus facilitating complementarity, and on success factors of the NAP process, including through case studies;
- j) Help define key elements/outcomes of the NAP process that would facilitate the implementation of activities - create room to develop a common understanding of the NAP process;
- k) Reach out to strategic partners of the NAP process including academia, media, and regional institutions, and bring together and enhance their specific strengths;
- l) Engage the CTCN to consider how its work could link to NAPs.
