

## Assessment of progress on NAPs in developing countries

*Questionnaire to collect information in support of the assessment of progress in the process to formulate and implement National Adaptation Plans under the Subsidiary Body for Implementation*

**August 2016**

The process to formulate and implement National Adaptation Plans (NAPs) was established in 2010 as part of the Cancun Adaptation Framework in 2010. Its objectives are:

1. To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience;
2. To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate (decision 5/CP.17).

The process to formulate and implement NAPs is a series of linked and interdependent activities which, collectively and successively, lead to the formulation of NAPs and subsequent implementation of the policies, programmes and projects identified by them, to address adaptation covering all important sectors and issues in the country, on a continuing, iterative and coherent manner, with due consideration of broader development priorities and the long-term nature of climate change.

**The process to formulate and implement NAPs is significant for enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change with a view to contributing to sustainable development in the broader context of the global goal on adaptation referred to in Article 7 of the Paris Agreement. (SBI 44)**

By decision 4/CP.21, paragraph 12(b), the Subsidiary Body for Implementation (SBI) is requested to assess progress made in the process to formulate and implement NAPs in May 2018, with a view to making recommendations thereon to the Conference of the Parties (COP), as appropriate. Relative to this, Parties are invited to provide information guided by this online questionnaire.

Information submitted before the **10<sup>th</sup> of September 2016** will be included in the annual report on progress on NAPs being prepared by the LEG for COP 22 as part of their 2016-2017 work programme.<sup>1</sup> The information can be updated frequently to provide a time series.

The questionnaire is composed of four parts, as follows:

**Part I:** [Assessing progress based on the building blocks of the process to formulate and implement NAPs](#)

**Part II:** [Support for the formulation and implementation of NAPs](#)  
A. [Support accessed and received by developing countries \(financial and technical\)](#)  
B. [Support provided to developing countries \(financial and technical\)](#)

**Part III:** [Monitoring, evaluation and reporting related to the process to formulate and implement NAPs](#)

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<sup>1</sup> Available at <<http://unfccc.int/9516>>.

**Part IV: [Cross cutting issues](#)**

**Respondent's details**

Name of respondent: *(Authorized by the UNFCCC Focal Point, if not the Focal Point)*

Country:

Designation/Office:

Email address:

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**PART I - *Assessing progress based on the building blocks of the process***

1. Is your country preparing a NAP?

Yes, continue to next question.

No, why?

Please elaborate your reason. \_\_\_\_\_

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\_\_\_\_\_

2. Where are you in the process to formulate and implement your NAP?

*Please tick the boxes that correspond to the activities that your country has undertaken. These building blocks correspond to categories that are used in the annual report on progress on NAPs to the SBI (FCCC/SBI/2015/INF.11).*

*For every ticked box, please indicate the output and relevant links in which it can be accessed.*

***Element A: Laying the groundwork and addressing gaps***

Initiate and launch the process

\_\_\_\_\_

Formulate and issue policies, regulations, legislation and mandate for the process

\_\_\_\_\_

Consult and engage stakeholders

\_\_\_\_\_

Define institutional arrangements, coordination mechanisms (governance structure)

\_\_\_\_\_

Assess gaps and needs

\_\_\_\_\_

Synthesize available information, take stock of relevant activities (science and knowledge)

\_\_\_\_\_

Develop roadmap for the process

\_\_\_\_\_

Complete road map

\_\_\_\_\_

Address capacity gaps and needs (capacity development)

\_\_\_\_\_

- Characterize the development context and identify adaptation–development themes
- 

***Element B: Preparatory elements***

- Analyze past climate and climate change scenarios (science and knowledge)
- 
- Undertake activities on integrating adaptation into national and subnational development planning
- 
- Comprehensively assess climate vulnerability
- 
- Identify adaptation options to address key vulnerabilities
- 
- Appraise, prioritize and rank adaptation options
- 

***Element C: Implementation strategies***

- Prioritize climate change adaptation in national planning
- 
- Compile draft NAPs for consultation and endorsement
- 
- Communicate NAPs to the UNFCCC process
- 
- Design coherent implementation strategies, including synergy
- 
- Implement and manage actions in NAPs through policies, programmes, projects and other activities
- 

***Element D: Reporting, monitoring and review***

- Design and apply a monitoring and evaluation framework or system
- 
- Monitor and periodically review the process
- 
- Iteratively update NAPs
- 
- Report on progress, effectiveness and gaps
- 

***PART II - Support for the formulation and implementation of NAPs***

***A. Support received and accessed (financial and technical)***

***Financial Support***

1. Please select the funding source you have already accessed or are in the process to access for your NAP process.
- GCF Readiness

- GCF Direct access
- Least Developed Countries Fund (LDCF)
- Special Climate Change Fund (SCCF)
- Bilateral assistance, please specify: \_\_\_\_\_
- Domestic Sources
- Other: \_\_\_\_\_

2. At what stage are you in the process of accessing financial support for NAPs?

*GCF Readiness window (Check all that apply)*

- Submission of readiness request by country
- Submission of readiness proposal by country
- Grant agreement sent to country
- Disbursements
- Other \_\_\_\_\_

*GCF Direct access window. (Please describe the activities you have undertaken so far.)*

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*LDCF*

- Submission of concept note in PIF form
- Project preparation
- Submission of full project proposal
- Disbursement and implementation
- Other: \_\_\_\_\_

*SCCF*

- Submission of concept note in PIF form
- Project preparation
- Submission of full project proposal
- Disbursement and implementation
- Other: \_\_\_\_\_

3. Are there any challenges in accessing funding support for the process to formulate and implement NAPs? What are these challenges?

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4. For countries that have successfully obtained funding for NAPs, are there any challenges in utilizing the funds? If yes, what are they?

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### ***Technical Support***

1. Are you receiving any technical support for the formulation of NAPs? If yes, from what support programme or organization? Please tick the appropriate box below.

- NAP global support programmes (i.e. UNDP-UNEP NAP GSP)
- NAP global support networks (i.e. NAP Global Network)
- Bilateral/development agencies, please specify: \_\_\_\_\_
- Other UN agencies, please specify: \_\_\_\_\_
- Other:

2. In what areas of work in the NAP process do you receive technical support? Please elaborate on the nature of activities and specific elements based on the building blocks in Part I.

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3. Are there any challenges in accessing technical support for the process to formulate and implement NAPs? What are these challenges?

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### ***Areas needing technical support<sup>2</sup>***

*The following list is not representative of the full account of gaps and needs regarding technical support on the formulation and implementation of NAPs. Please select the areas that correspond to your needs and add all other areas needing technical support not included in the list.*

- The urgent need for capacity-building in relation to the process to formulate and implement NAPs, not only for the climate change focal points but also for other government agencies that will be part of the process
- The need for more outreach materials for use by relevant stakeholders in raising awareness and creating buy-in for the process to formulate and implement NAPs at all levels
- Better coordination and coherence of support and other aspects of the process to formulate and implement NAPs at key levels
- The development of properly managed data and information systems, which would serve as the basis for science-based planning and decision-making
- Monitoring and review of the process to formulate and implement NAPs
- How to communicate the process to formulate and implement NAPs to policymakers and other stakeholders to create buy-in and political support, and ensure adaptation is prioritized in national planning

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<sup>2</sup> As identified in FCCC/SBI/2014/INF.14, paragraph 70 and FCCC/SBI/2015/INF.14, paragraph 61.

- How to create appropriate legislation to address climate change (including adaptation), especially given limited financial resources;
- How to take stock of information already captured in existing monitoring and evaluation systems in different sectors, and assess the suitability of existing frameworks to monitor progress under the process to formulate and implement NAPs
- How to develop a common understanding of the process to formulate and implement NAPs among all stakeholders and actors in order to facilitate an effective and coherent approach to adaptation planning and implementation, using decisions of the Conference of the Parties on NAPs as a common denominator
- How to make various international and regional programmes work in support of national efforts on adaptation under the NAP umbrella to avoid conflicting messages and duplication of effort
- How to enhance access to information on available financing for all aspects of adaptation readiness, formulation of plans, implementation of adaptation measures and requirements for access
- How to tailor support for key regional characteristics and vulnerabilities
- How to access and use the best available science and knowledge of climate scenarios such as that based on the latest IPCC assessments and guidance, and in such a way as to translate the less than 2°C global temperature goal to regional changes suitable for application at the country level
- How to apply different vulnerability and risk assessments to different sectors and systems, taking into account important aspects of a country, and aggregate the results so that they can inform good planning at the national level
- How to move from the assessment of climate vulnerabilities and risk to the identification of effective adaptation solutions and actions
- How to develop robust programmes, policies and projects that lead to positive outcomes in reducing vulnerability and the integration of climate change in national development planning
- How to ensure effective engagement with and capacity-building of institutions best suited to collecting information, including non-governmental institutions
- How to practically link the process to formulate and implement NAPs with low-carbon development strategies, the Sustainable Development Goals, the GCF and other relevant processes.

Others, please specify:

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**B. Support provided (financial and technical)**

1. Are you providing support to the formulation of NAPs in other countries?  
 Yes, please proceed to subsequent questions.  
 No, proceed to Part III
  
2. To what countries have you provided support for NAPs? For what areas of work in the NAP process do you provide technical/financial support? Please elaborate on the nature of activities and specific elements based on the building blocks in Part I.  

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3. Have you experienced any challenges in providing support on NAPs? In what form or nature?  

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**Part III - Monitoring and evaluation and reporting related to the process to formulate and implement NAPS**

1. What existing channel(s) does your country use to report to the UNFCCC process the progress in undertaking the process to formulate and implement NAPs?  
 Submission of NAPs to NAP Central  
 Submission of other NAP process outputs to NAP Central  
 National communications  
 Biennial update reports  
 Nationally determined contributions  
 Others, please specify: \_\_\_\_\_
  
4. How do you monitor your NAP process? What specific metrics do you use in monitoring your NAP process?  

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**Part IV - Cross cutting issues**

1. How do you engage stakeholders in the process to formulate and implement NAPs?  
 Create a set of criteria for identifying stakeholders  
 Conduct stakeholder analysis through desk review and/or focus group discussions  
 Organize a national stakeholder consultation
  
2. What are the institutional arrangements and coordination mechanism to engage them?  

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3. Under which specific activities in your NAP process did you consider the following:
  - Gender:

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- Vulnerable groups and communities:

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- Ecosystems:

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4. Any other information you would like to share relevant to the process to formulate and implement national adaptation plans.

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<p>In the event you fill out the questionnaire offline, please send your input to: NAPCentral@unfccc.int with the Subject: <b>[Country Name] Response to Questionnaire on NAPs</b></p>
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