

Submission by the NAP Global Network to the First Global Stocktake: Enhancing the Formulation and Implementation of National Adaptation Plans (NAPs)

Mandate

Decision 19/CMA.1, paragraph 19: “[The CMA] requested the Chairs of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation to issue a call for the inputs referred to in paragraphs 36 and 37 of the same decision, taking into account that such inputs should be submitted at least three months before their consideration in the technical assessment.”

The NAP Global Network, whose Secretariat is hosted by the International Institute for Sustainable Development (IISD), appreciates the opportunity to provide its views and inputs for the first Global Stocktake.

This submission takes into consideration Decision 19/CMA.1,¹ the guiding questions prepared by the SB Chairs,² and the relevant provisions of the Paris Agreement,³ and focuses on five thematic areas of national and sub-national adaptation planning and implementation: vertical integration; horizontal coordination and sectoral integration; monitoring, evaluation, and learning (MEL); Ecosystem-based Adaptation (EbA); and strategic communication. It is accompanied by a parallel submission focused on gender-responsive National Adaptation Plan processes, submitted through the UNFCCC portal.

Box 1: About the NAP Global Network

The NAP Global Network was created in 2014 to support developing countries in advancing their NAP processes, and help accelerate adaptation efforts around the world. To achieve this, the Network facilitates South–South peer learning and exchange, supports national-level action on NAP formulation and implementation, and generates, synthesizes, and shares knowledge. The Network’s members include individual participants from more than 155 countries involved in developing and implementing NAPs. Financial support for the Network has been provided by Austria, Canada, Germany, Ireland, the United Kingdom, and the United States. The Secretariat is hosted by the International Institute for Sustainable Development. For more information, visit www.napglobalnetwork.org.

¹ <https://unfccc.int/documents/193408>

² https://unfccc.int/sites/default/files/resource/Draft%20GST1_TA%20Guiding%20Questions.pdf

³ Articles 2, 7, and 14 of the Paris Agreement.

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DISCLAIMER

This submission is made without prejudice to further submissions from the NAP Global Network and the International Institute for Sustainable Development. The views and inputs stated in this submission do not necessarily reflect the views, inputs, policies or opinions of the NAP Global Network’s and IISD’s funders or network participants.

No liability is assumed for the accuracy or uses of the information provided. As a technical submission, the exact language used should not be understood to change or reinterpret anything contained in these relevant decisions referenced above. For purposes of clarity, in particular, the concise term “NAP process” is applied throughout the document instead of the phrase “process to formulate and implement National Adaptation Plans” contained in Decision 1/CP.16 and subsequent decisions. As contained in the decisions, the “NAP process” was established to enable least-developed country parties to formulate and implement National Adaptation Plans, building upon their experience in preparing and implementing National Adaptation Programmes of Action. It is a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programs to address those needs. Please note that, by following this approach, this submission neither aims to reinterpret any existing decision under the United Nations Framework Convention on Climate Change nor does it intend to preempt any potential future decisions on this issue.

Executive Summary

More countries are undertaking the NAP Process⁴ to identify and address their medium- and long-term priorities for climate adaptation – and as a roadmap for resilient recovery after the COVID-19 pandemic.

- As of August 1, 2022, a total of 38 NAPs have been submitted to the UNFCCC. More NAPs have been submitted in 2021 and 2022 than in any of the previous years since 2015.
- However, it is worth noting that the number of communicated NAPs does not reflect the actual number of adaptation plans or strategies out there and belies the important progress that many countries have made in identifying their adaptation priorities. A total of 129 developing countries currently has a NAP Process underway and are expected to submit a NAP document in the coming years. This 129 versus 38 gap reflects a surging demand for support in establishing enabling frameworks for adaptation action, and the scale of change being pursued in these countries should not be underestimated.
- Seeing accelerated progress in NAPs will require a different scale of and approach to support – countries need greater volume of flexible, long-term support to embed adaptation in development decision-making. The NAP Global Network is supporting countries in making this transition through greater emphasis on building systems and capacities of government institutions to make adaptation considerations into standard government operations. Systems and capacities are the foundational and critical pieces to adaptation actions at scale.
- More countries are undertaking their NAP Processes with approaches that are gender-responsive, socially inclusive, participatory, and cross-cutting. And countries are aligning their NAP with other international commitments and agendas to enhance synergies.

Countries recognize the importance of vertical integration in their national and sub-national adaptation planning and implementation.

- Although almost all NAPs mention the importance of sub-national actors and local communities in adaptation planning and implementation, only a quarter of them have developed mechanisms to facilitate vertical integration that strategically link national and sub-national adaptation planning, implementation and monitoring, evaluation and learning.
- Challenges encountered include low capacities and lack of resources at the sub-national levels, lack of high-level mandate and political will, lack of understanding and awareness of adaptation at the sub-national levels, and the absence of good institutional arrangements to support vertical integration.

⁴ The concise term “NAP process” is applied throughout the document instead of the phrase “process to formulate and implement National Adaptation Plans” contained in Decision 1/CP.16 and subsequent decisions.

- Securing financing mechanisms that reach sub-national levels, establishing institutional arrangements that support dialogues across scales, encouraging the generation and sharing of information between stakeholders, and developing the capacity of actors at all levels are key enabling factors when developing a vertical integration mechanism.

Sectoral integration and horizontal coordination enhance the coherence of adaptation and development planning within countries, but challenges and gaps remain during implementation.

- Sectoral integration and horizontal coordination are integral for achieving a whole-of-society and whole-of-government approach to coherent adaptation planning and implementation. Currently, all NAPs identify priority sectors for adaptation actions and more than three quarters of NAPs mentions institutional arrangements as an important element of the NAP Process.
- Barriers and challenges persist, including limited awareness and understanding of adaptation; uncertainty and different and competing time horizons and ministerial priorities; and fragmented landscape of actors, priorities, and actions. Existing hierarchical structures, cultural differences between spending and regulatory departments, and sectoral self-interest may impede horizontal coordination and sectoral integration efforts.
- Establishing high-level political mandates, creating sectoral integration and horizontal coordination strategies, and integrating adaptation into governments' budgeting and long-term planning processes, coupled with awareness raising and capacity development could strengthen sectoral integration and horizontal coordination.

Countries face challenges when developing and deploying monitoring, evaluation and learning (MEL) systems for adaptation, but progress has been made in tracking progress and distilling lessons learned from adaptation implementation.

- National MEL for adaptation is at the core of the NAP process to determine if and how adaptation interventions are reducing vulnerability and improving countries' capacity to prepare for and respond to the impacts of climate change across sectors and levels. Currently, less than half of the NAPs have MEL frameworks that have identified indicators to track adaptation progress.
- The development and implementation of MEL frameworks for adaptation have transitioned to a deeper technical level due to higher awareness about the complexity of adaptation measurements, a clear understanding of the resources required, efforts to ensure the inclusivity of the NAP process, and growing interests in ensuring the viability and relevance of national MEL frameworks for adaptation.
- Countries face multiple challenges and barriers, including difficulties in obtaining required data sources to support smart and relevant indicators, lack of high-level support and political will, reporting overload and misalignment with other reporting obligations, difficulties in vertical and horizontal coordination, difficulty in securing the

necessary financial and technical resources, and low capacity for designing gender-responsive MEL systems.

- While challenges remain, many countries have taken innovative and diverse approaches to establishing and deploying their national MEL systems for adaptation. This submission provides some examples and key lessons learned from the emerging solutions.

More countries are incorporating Ecosystem-based Adaptation (EbA) in their NAPs to explore synergies in advancing biodiversity protection and climate adaptation; but safeguards and principles are a must for their effectiveness and the protection of human rights.

- More countries are using their NAP process for mainstreaming, mandating, and scaling up EbA across national and sub-national adaptation planning processes. The majority of the NAPs mention ecosystems and ecosystem services in their vulnerability assessment and over half of the NAPs mention or identify EbA measures among adaptation actions.
- Though more countries are recognizing EbA and the value of ecosystem services, many challenges persist. Very few NAPs move beyond a purely economic productivity point of view (resource extraction) to consider how ecosystem goods and services could help people adapt to the observed and projected climate shocks and risks identified in the NAPs. And concerns over the commodification and privatization of nature, as well as concerns over the potential misuse of EbA and past experiences, may hinder EbA's mainstreaming and scaling up. Lastly, the lack of a legally binding definition of EbA within the UNFCCC process and the difficulties in identifying financial resources for EbA continue to be a challenge and barrier to its mainstreaming in NAPs.
- Building resilience with nature means emphasizing the role of ecosystems in vulnerability reduction for people, livelihoods, and socioeconomic development; taking an ecosystem-level approach to assessing vulnerabilities and risks while adopting an integrated approach that considers ecosystems across all sectors. Adopting safeguards that ensure EbA actions are gender responsive, socially inclusive, and biodiversity positive, and committing to a participatory approach and sufficient resources, could scale up EbA in NAP processes.

Countries are employing a strategic approach to communications of adaptation actions that helps them communicate climate adaptation to all relevant stakeholders and ensures the public's views are reflected in the NAP Process.

- Almost all NAPs mention communications and information sharing being a priority. Strategic communications can help support the different stages of the NAP process and make adaptation implementation more effective and inclusive.
- Some key practical steps for developing strategic communication strategies include prioritize audiences, be inclusive and accessible with the key messages, identify proper and appropriate communications channels, choose metrics to measure impact, and ensure a participatory and inclusive approach.

Current Trends in NAP Processes

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

- 1. The NAP process is a strategic process that enables countries to identify and address their medium- and long-term priorities for adapting to climate change.** It provides a basis for identifying and prioritizing adaptation options, implementing these options, and tracking progress and results. As countries deal with the climate crisis in tandem with the ongoing COVID-19 pandemic, NAP offers a roadmap for resilient recovery that can address multiple risks and compounding risks.
- 2. The NAP Global Network's NAP Trends platform** shares key information on NAPs to make it easy for the adaptation community to access analyses, trends, and statistics of NAPs submitted to the UNFCCC. This submission relies on the data and analyses of the NAP Trends platform, reflecting NAPs submitted to the UNFCCC as of December 31, 2021, with some data updated on June 1, 2022.
- 3. As of August 1, 2022, a total of 38 NAPs have been submitted to the UNFCCC.** More NAPs have been submitted in 2021 and 2022 than in any of the previous years since 2015. Out of the 38 countries that have submitted their NAPs, 4 (10%) countries have submitted their updated NAP. Most NAPs (14) were submitted by African countries, followed by Latin America and the Caribbean (13), Asia-Pacific (9), and Eastern Europe (2). It is worth noting that having developed a NAP document is a critical milestone, but it is not representative of the actual amount of adaptation progress happening within developing countries. A total of 129 developing countries currently has a NAP Process underway and are expected to submit a NAP document in the coming years.
- 4. Seeing accelerated progress in NAPs will require a different scale of and approach to support** – countries need greater volume of flexible, long-term support to embed adaptation in development decision-making. As countries are transitioning from planning to implementation of their NAPs, the gap between priorities and actions needs to be narrowed. The NAP Global Network is supporting countries in making this transition through greater emphasis on building systems and capacities of government institutions to make adaptation considerations into standard government operations. Systems and capacities are the foundational and critical pieces to adaptation actions at scale.
- 5. NAPs identify key climate risks and vulnerabilities** facing countries in their climate information section. As of December 31, 2021, most NAPs relied on national models (27), in conjunction with IPCC projections (20), to identify and distil climate information. 63% (19) of NAPs mentioned the integration of Traditional and Indigenous Knowledge in their climate information system. The most mentioned climate hazards and changes were droughts (30), floods (30), and changes in precipitation patterns (29); followed by sea level rise (24); storms, hurricanes, and cyclones (24); heat waves (22); and seasonal shifts (21).
- 6. More than half of the NAPs (17; 57%) identified specific adaptation actions;** and the average number of identified adaptation actions in NAPs is 87. Many NAPs have included guiding principles, such as participatory (22), gender-responsive (17), inclusive of vulnerable groups and

communities (17), ecosystem-based and environmentally sustainable (14), and guided by the best-available science (13).

7. **Implementability and financing** continue to be crucial factors in the NAP process. As of December 31, 2021, 3 NAPs have ad-hoc implementation strategies; and 12 (40%) NAPs included costing of adaptation actions, averaging around 12.685 billion USD. Almost all NAPs (27; 90%) mention financing sources, including from domestic budgets (26), international climate finance (25), private sector (19), or other sources (12). 18 (60%) of NAPs mentioned a separate resource mobilization strategy. All NAPs have identified **capacity development** as a priority for their NAP process. Some NAPs have identified targeted actors for capacity development, inter alia, communities and local actors (25), sector ministries (22), NAP coordinating ministry (15), private sector actors (15), research and academic community (12), and subnational authorities (11).

8. **Gender equality and social inclusion issues provide some of the most compelling stories about effective NAP processes.** As of December 31, 2021, almost all NAPs (29; 97%) mention gender equality as either a guiding principle, a cross-cutting issue, a priority sector or as an objective. As more NAPs are submitted, the positioning of women in NAPs has been slowly shifting from a 'particularly vulnerable group' (24) or 'beneficiaries of adaptation actions' (20) framing, to a 'women as agents of change' framing (17). In addition, 17 (57%) NAPs mention sexual and reproductive health and rights (SRHR) as an important issue to be considered in gender-responsive adaptation actions. For more information on gender-responsive NAP processes, please refer to the NAP Global Network's parallel submission.

9. Countries are **aligning their NAP with other relevant international commitments and agendas** to achieve synergies and improve efficiency. As of December 31, 2021, 24 NAPs are aligned with their countries' Nationally Determined Contributions (NDCs); 22 are aligned with the Sustainable Development Goals (SDGs); 16 are aligned with their countries' National Biodiversity Strategy and Action Plan (NBSAP) under the UN Convention on Biological Diversity (CBD); 13 are aligned with the Sendai Framework for Disaster Risk Reduction; 8 are aligned with the UN Convention to Combat Desertification (UNCCD); and 3 NAPs mention their countries' Adaptation Communication (AdCom).

10. **Disaster risk reduction and management** are identified as priorities in 20 (67%) NAPs as of December 31, 2021. And 21 (70%) NAPs mentioned **climate and disaster risk finance and insurance (CDRFI) solutions**. These CDRFI solutions include agricultural insurance (14), social protection (10), contingency funds (6), catastrophe risk pools (4), and other insurance (14).

11. Most countries that submitted a NAP recognize the importance of **involving the private sector** in their NAP process. Almost all NAPs (27; 90%) of NAPs mention private sector engagement, with 26 identified private sector actors as implementors of adaptation actions and 17 identified them as financiers of adaptation actions.

12. 19 (63%) countries that have submitted a NAP have included in it a **commitment to update their NAPs in the future** to ensure an iterative cycle of planning, implementation, and learning.

Referenced Resources

- NAP Trends platform (<https://trends.napglobalnetwork.org/>)

Vertical Integration

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

13. **Vertical integration** is the process of “creating intentional and strategic linkages between national and sub-national adaptation planning, implementation and monitoring & evaluation.”⁵ It is about linking sub-national authorities, local organizations, and communities with decision-makers who are guiding national-level adaptation efforts; thereby creating an inclusive and participatory stakeholder engagement process.

14. As of December 31, 2021, 28 (93%) NAPs mention sub-national actors, including local communities (28), subnational government authorities (26), local organizations (18), and women’s groups (10). Out of which, 19 (63%) NAPs have mentioned local and/or community adaptation actions being an important part of their countries’ adaptation planning and implementation. But only about a quarter of NAPs (8; 27%) explicitly mentioned mechanisms for vertical integration.

Responding to guiding questions 9 and 10(a): How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement? What further action is required?

15. National and sub-national adaptation planning could be further enhanced through strengthening vertical integration. It could **facilitate an ongoing, constructive exchange between stakeholders across scales** – leading to the co-creation of a country’s adaptation strategy. Sub-national stakeholders are more willing and able to contribute to a country’s adaptation efforts when they feel included in the governance landscape. The national government could also get access to better **localized information on vulnerabilities, adaptation needs, and capacity gaps, as well as local and traditional knowledge**. Incorporating the views and voices of local actors, especially minorities and disenfranchised groups, is a fundamental aim of vertical integration. This helps align a country’s NAP with principles such as participation, representation, transparency, and gender responsiveness.

16. Adaptation projects or policies that recognize the differential impacts of climate change on women, men, and nonbinary people, not only as separate groups but also based on their lived experiences and circumstances, will be more responsive to people’s needs and thus more inclusive and effective. **Vertical integration encourages conversations across scales and explores the gender-differentiated impacts and their subsequent responses**. The NAP Global Network has proposed three guiding principles to ensure that vertical integration is gender responsive:⁶

- a. Acknowledgement that needs and capacities differ based on a person’s gender.

⁵ Dazé, A., Price-Kelly, H., & Rass, N. (2016). *Vertical Integration in National Adaptation Plan (NAP) Processes: A guidance note for linking national and sub-national adaptation*. International Institute for Sustainable Development. <https://napglobalnetwork.org/wp-content/uploads/2016/11/napgn-en-2016-vertical-integration-in-national-adaptation-plan-processes-a-guidance-note-for-linking-national-and-sub-national-national-adaptation.pdf>

⁶ Morchain, D. (2021). *Progress and Challenges in Achieving Vertical Integration in Adaptation Processes*. International Institute for Sustainable Development. <https://napglobalnetwork.org/resource/achieving-vertical-integration-in-adaptation-processes/>

- b. Equal participation and influence in adaptation decision-making processes, regardless of a person's gender.
- c. Equal access to resources (financial and otherwise) resulting from investments in adaptation, regardless of a person's gender.

17. Vertical integration helps build **inclusive knowledge and more balanced power dynamics**. Existing adaptation power dynamics tend to undermine the importance of local knowledge in adaptation. Multi-level structures could be created to encourage a constructive co-creation process, whereby locally led adaptation and knowledge systems are recognized and incorporated into the “big picture” of a national strategy.

18. Vertical integration could help **promote decentralization and participation** of citizens, especially the disenfranchised and marginalized groups, in adaptation efforts.

Responding to guiding question 10(c): What are the opportunities, good practices, lessons learned and success stories?

19. The NAP Global Network's guidance note "[Vertical Integration in National Adaptation Plan \(NAP\) Processes](#)" provides guidance on 6 key points to consider for vertical integration in the NAP process:

- a. **Institutional arrangement:** Utilize existing decentralization processes; establish or build on mechanisms for dialogue, coordination and information sharing across scales; identify best-suited functions for each stakeholder, including the civil society and the private sector; and ensure the flexibility of institutional arrangements.
- b. **Information sharing:** Consider different actors' information needs throughout the NAP process; establish ongoing information sharing mechanisms across scale; provide climate information at the appropriate scale and timeframes in an accessible manner; and facilitate dialogues between actors across scale to help merge scientific and Indigenous climate information, share experiences and lessons learned, and ensure adaptation actions are mutually supportive.
- c. **Capacity development:** Consider what capacities are needed in the NAP team; provide capacity-building resources and opportunities for sub-national actors; and integrate capacity development strategies within NAP.
- d. **Planning:** Consider how sub-national perspectives could be integrated in the initiation of the NAP process; commit to taking the diversity of sub-national development needs and climate vulnerabilities into account in the NAP process, and to a participatory, gender-responsive, and inclusive approach; and integrate adaptation into sub-national development planning where feasible and appropriate.
- e. **Implementation:** Consider how adaptation options can be best prioritized for implementation at sub-national levels; elaborate resource mobilization approaches and provide the necessary support for sub-national actors to implement the identified adaptation options; leverage existing mechanisms for local development funding where feasible and appropriate; and establish transparent mechanisms to create the enabling environment for sub-national actors to access adaptation finance.

- f. **M&E:** Develop a comprehensive national M&E system that incorporates data and information from sub-national levels; link M&E systems with updates to the NAP process to capture sub-national experiences and learning; and share synthesized results and strategic lessons with sub-national actors.

20. Fostering vertical integration linkages relies on **four key enabling factors**: 1) securing financing mechanisms that reach sub-national levels; 2) establishing institutional arrangements that support dialogues across scales; 3) encouraging the generation and sharing of information among stakeholders; and 4) developing the capacity of actors at all levels.

Box 2: What we learned from countries' experiences with vertical integration

21. Many countries have moved vertical integration efforts from theory to practice. The following summarizes some key lessons learned from multiple countries' NAP processes:

- a. **Enhancing the representation of marginalized groups**, including women, in adaptation processes ensures local voices and agendas are adequately represented in national conversations.
- b. Enhancing representation also **increases the accountability of government officials** and leads to more tailored and responsive adaptation solutions.
- c. **Decentralization can help make adaptation policies more targeted**, but it must be accompanied by resources to enable local governments to succeed.
- d. The existence of local institutional structures to promote adaptation is not enough – they must **be run justly and with a long-term perspective**.
- e. **Limited access to and control over funding at sub-national levels** can reduce local governments' and communities' sense of ownership of adaptation initiatives.
- f. **National leaders can be instrumental in promoting and validating the views of local actors** and in creating a constructive flow across levels of governance.
- g. **Using simple and inclusive language** when talking about adaptation invites all stakeholders to contribute their knowledge, forming a vision that is representative of diverse social groups.
- h. **Forming diverse partnerships and collaborating in research processes** can increase awareness of national-level policy-makings about local realities and encourage the implementation of innovative, well-targeted adaptation actions.

See country examples of these lessons learned and more information:

<https://secureservercdn.net/166.62.112.107/165.f9d.myftpupload.com/wp-content/uploads/2021/09/napgn-en-2021-vertical-integration-in-adaptation-processes.pdf>

22. The NAP Global Network has also compiled a list of recommendations for facilitating vertical integration in countries' NAP processes:

- a. Use **knowledge brokers** to bridge national and local visions of adaptation through constructive dialogue. They could play a role in facilitating vertical collaboration between local and national stakeholders and push a common agenda forward with local dynamics and realities in mind.
- b. Local authorities and civil society organizations should be **empowered to influence adaptation processes** through a functioning institutional setup, stronger mandates, and capacity building. This could help navigate the power imbalances between the national and the sub-national, while ensuring local communities benefit from adaptation financing and capacity-strengthening programs.

- c. Strengthen **communication between local and national adaptation processes** to overcome the “projectization” of adaptation. Political will and institutions are needed to facilitate good communications between actors across scales, in order to ensure local adaptation projects are linked with national adaptation plans and policies.
- d. Set up systems and partnerships that **facilitate access to adaptation-related information and knowledge** by policy-makers and non-researchers. Encouraging trusting, sustaining, and equal relationships among researchers, governments, and communities is likely to advance the common adaptation goal more effectively.

Referenced Resources

- sNAPshot | Getting Started on Vertical Integration: Linking national and sub-national adaptation planning processes (<https://napglobalnetwork.org/resource/snapshot-getting-started-vertical-integration-linking-national-sub-national-adaptation-planning-processes/>)
- Vertical Integration in National Adaptation Plan (NAP) Processes: A guidance note for linking national and sub-national adaptation (<https://napglobalnetwork.org/wp-content/uploads/2016/11/napgn-en-2016-vertical-integration-in-national-adaptation-plan-processes-a-guidance-note-for-linking-national-and-sub-national-national-adaptation.pdf>)
- Progress and Challenges in Achieving Vertical Integration in Adaptation Processes (<https://napglobalnetwork.org/resource/achieving-vertical-integration-in-adaptation-processes/>)
- Entry Points for Vertical Integration of Climate Action in Kazakhstan (<https://napglobalnetwork.org/resource/entry-points-for-vertical-integration-of-climate-action-in-kazakhstan/>)
- NAP Trends platform (<https://trends.napglobalnetwork.org/>)

Sectoral Integration and Horizontal Coordination

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

23. A guiding principle of the NAP process is that it “seeks to enhance the coherence of adaptation and development planning within countries, rather than duplicate efforts.”⁷ **Integrating climate adaptation into new and existing development planning is a key objective of the NAP process.** As of June 1, 2022, all of the NAPs (36; 100%) identified priority sectors and an average of 9 priority sectors were identified by each NAP. Sectors that are mentioned the most include, inter alia: agriculture, crops, livestock, and/or food security (36); water and/or sanitation (34); health (30); ecosystems, biodiversity, environment, and/or natural resources (27); and infrastructure (24). Other sectors identified include energy (21); and urban, human settlements, and/or housing (19); tourism (14) which is particularly crucial economically for small island developing states; forestry and fisheries (13); and industry and manufacturing (10).

24. **Horizontal coordination** refers to joint activities across two or more governmental agencies, departments, or institutions “that is intended to increase public value by their working together rather than separately.”⁸ It is also crucial in the NAP process to ensure policy coherence and intra-governmental coordination, ultimately achieving a whole-of-government approach to the NAP process. As of December 31, 2021, 25 (83%) NAPs mention institutional arrangements as an important element of their NAP process. The average number of responsible agencies for implementing NAPs is 25 and countries have set up different coordination mechanisms to support horizontal integration. 23 countries have established cross-ministerial mechanisms to coordinate their NAP process, and 20 countries involve their core ministries (including planning and finance ministries) in their NAP process. Some countries (21) also identified sector ministries, such as ministries responsible for tourism or gender equality, to be involved in their NAP process. Research and academic institutions and non-governmental organizations (NGOs), 16 and 10, respectively, are also identified as responsible actors for countries’ NAP processes.

Responding to guiding questions 9 and 10(a): How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement? What further action is required?

25. Sectoral integration and horizontal coordination are crucial in the NAP process. In order to enhance these, high-level political commitment is needed to promote collective responsibility and commitment to planning and implementing the NAP across government siloes and sectoral boundaries. It is essential that each ministry or sector is aware of their share of responsibility and that there is a clear allocation of quantifiable responsibilities. Second, linkages and synergies between adaptation and each sector should be identified and strengthened. This horizontal policy

⁷ UNFCCC. (2012). *Technical Guidelines for the National Adaptation Plan Process*. UN Framework Convention on Climate Change.

https://unfccc.int/files/adaptation/cancun_adaptation_framework/application/pdf/naptechguidelines_eng_high_res.pdf

⁸ Bardach, E. (1998). *Getting Agencies to Work Together. The Practice and Theory of Managerial Craftsmanship*. Washington: Brookings Institution Press.

integration would maximize the impact of the NAP process, avoid duplication, and prevent contradictory policies. Third, functional coordination mechanisms need to be established in order to facilitate dialogue, increase mutual understanding, and establish joint processes to explore synergies and assess trade-offs. And lastly, building a common approach to data and information collection would strengthen the MEL efforts of NAP.

26. An important part of sectoral integration is ensuring adaptation considerations are embedded in sectoral strategies and plans. It is crucial that the sectors understand and prioritize adaptation in their own planning processes and ensuring the appropriate allocation of budget in their sectoral budgeting process; and to not see adaptation as a competing priority, but a complementary one that would enhance the resilience of the various sectors. See paragraph 77 in the strategic communications section for more.

27. There is a spectrum of approaches to sector integration of adaptation. Some countries' sector integration process is sector-driven, where the sectors have taken steps to address adaptation considerations. And some are nationally driven through a focal climate agency that identifies national adaptation priorities and develops sector-specific strategies and actions. A number of countries also took a hybrid approach where adaptation is simultaneously considered at the national level and during sector-specific planning. This requires strong coordination of national and sectoral initiatives to ensure cohesion and synergies.

Responding to guiding question 10(b): What are the barriers and challenges, and how can they be overcome at national, regional and international levels?

28. **Limited awareness and/or different understanding of adaptation.** While adaptation has received more attention lately, there is still a lack of awareness of what it means to adapt, what adaptation involves, and what it can look like. Capacity-building within government agencies and the different relevant sectors is crucially needed to arrive at a shared understanding of the problem and how to navigate and prioritize among a wide range of options.

29. **Uncertainty and different and competing time horizons.** Incomplete information and high uncertainty regarding climate impacts make it difficult for long-term decision-making. Governments and different sectors are under pressure to address the short-term priorities that generate immediate benefits, instead of the long-term. Therefore, a diversity of perspectives and information are needed in high-level planning and decision-making, and adaptation governance must be flexible, adaptive, and iterative.

30. **Fragmented landscape of actors, priorities, and actions.** Adaptation involves many disciplines, ministries, agencies, and sectors. This could lead to defused focus and overstretch capacities. In addition, hierarchical structures, cultural differences between spending and regulatory departments, sector-specific technical jargon, and sectoral self-interest may also impede horizontal coordination and sectoral integration efforts. Therefore, institutional arrangements need to strike a balance and create strategic linkages and coordination systems to minimize conflicts.

Responding to guiding question 10(c): What are the opportunities, good practices, lessons learned and success stories?

31. The NAP Global Network, through its experience in supporting countries' NAP processes, has distilled three key enabling factors for horizontal coordination and sectoral integration. First,

awareness and motivation are key to incentivizing integrated adaptation response across government and sectoral siloes. Second, information sharing and communication strategy could convince key sectoral stakeholders and key ministries (such as the planning or finance ministries) to integrate climate risks and adaptation responses into planning and budgeting. Third, capacity development for all key actors would enable their meaningful engagement in and commitment to adaptation planning.

32. Some of the key entry points include:

- a. **Establishing high-level political mandates** with a clear vision for horizontal coordination and sectoral integration, that mainstream adaptation, create leadership, and ensure inclusive stakeholder engagement.
- b. **Creating a sectoral integration strategy** to elaborate on goals and objectives, and define a roadmap for sectoral integration activities that identifies responsible ministries, agencies or key stakeholders and details responsibilities.
- c. **Integration adaptation into the government's budgeting process** allows a more cohesive coordination mechanism that ensures line ministries would have sufficient funding and resources for coordinating, planning, and undertaking adaptation activities.

Referenced Resources

- sNAPshot | Initiating sector integration of adaptation considerations (<https://napglobalnetwork.org/resource/snapshot-initiating-sector-integration-of-adaptation-considerations/>)
- Coherence as the process of joint and integrated policy making (<https://www.iisd.org/publications/coherence-process-joint-integrated-policy-making>)
- NAP Trends platform (<https://trends.napglobalnetwork.org/>)

Monitoring, Evaluation & Learning

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

33. National monitoring, evaluation and learning (MEL) for adaptation looks at progress in “implementing adaptation-related investments, policies, plans and interventions (process), and/or impacts that these may have (adaptation outcomes).”⁹ As of June 1, 2022, less than half of the NAPs (12; 40%) have MEL frameworks and only half of the NAPs have indicators to track progress. And only 22 (63%) NAPs committed to progress reporting on their NAP implementation.

Responding to guiding questions 9 and 10(a): How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement? What further action is required?

34. A national MEL framework for adaptation helps determine “if and how adaptation interventions are reducing vulnerability and improving countries’ capacity to prepare for and respond to the impacts of climate change across sectors and levels.”¹⁰ Designing and deploying a robust MEL system is at the core of the NAP process.

35. Experiences from the NAP Global Network has observed the development and implementation of MEL frameworks for adaptation have transitioned to a deeper technical level due to a number of factors: higher awareness about the complexity of adaptation measurement; a clearer understanding of the resources required to sustain and use MEL data effectively towards achieving adaptation goals; increasing awareness and efforts to ensure the inclusivity of the NAP process; and growing interests in ensuring the viability and relevance of national MEL frameworks for adaptation and their synergies with international reporting commitments and processes.

Responding to guiding question 10(b): What are the barriers and challenges, and how can they be overcome at national, regional and international levels?

36. The following are the key challenges faced by developing countries working on national MEL frameworks for adaptation and potential solutions to overcome them.

37. **Development of smart indicators:** There is a lack of common metrics to measure adaptation across scales and determine success, especially in the context of the long timescale of climate change trajectory and impacts. There is also a lack of data sources for changes to be monitored.

- a. *Emerging solutions:* If a country decides to take an indicator-based approach, it is recommended to start with a few high-level indicators that can be measured with readily

⁹ Price-Kelly, H., Hammill, A., Dekens J., Leiter, T., & Olivier J. (2015). *Developing national adaptation monitoring & evaluation systems: A guidebook*. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH and IISD. Retrieved from <http://napglobalnetwork.org/resource/developing-national-adaptation-monitoring-and-evaluation-systems-a-guidebook/>

¹⁰ Ospina, A. V. (2018). *sNAPshot | Monitoring and Evaluation in the NAP Process: Opportunities, challenges and emerging solutions*. International Institute for Sustainable Development. <https://napglobalnetwork.org/resource/snapshot-monitoring-evaluation-nap-process-opportunities-challenges-emerging-solutions/>

available data or data that can be produced with minimum effort in one to two years.¹¹ Establish mechanisms to validate the results from the MEL framework and build opportunities for feedback to improve and inform adaptation planning and the MEL framework. Articulate open government strategies to strengthen governance transparency and consider using innovative communication strategies and information technologies (i.e., mobile phones) as part of the data collection and findings' dissemination efforts.

38. **High-level support and stakeholder engagement:** Securing political will and high-level commitment to MEL for adaptation continue to be a challenge. Engaging and articulating efforts among stakeholders across sectors and scales could also be challenging (hence, highlighting the importance of vertical and horizontal integrations).

- a. *Emerging solutions:* Inform and articulate the development of the MEL framework with relevant legislation and policies/plans.

39. **Reporting overload and misalignment:** Avoiding overburdening developing countries with reporting requirements for different agendas (e.g. sectoral, national, or multilateral) and purposes (e.g. NDCs, SDGs, NAPs) is important and aligning different reporting instruments could be a potential solution.

- a. *Emerging solutions:* Ensuring the alignment of indicators, methodology, and reporting outputs of multiple reporting requirements for different agendas and commitments. Purposefully build and enable the MEL framework for adaptation to contribute to reporting commitments of the enhanced transparency framework (Biennial Transparency Report), the SDGs, the National Biodiversity Strategy and Action Plan (NBSAP), and others.

40. **Cross-sectoral/multi-level coordination:** Ensuring buy-in and coordination across sectors and levels to gather data and experience could be challenging in some countries; and finding indicators that are transversal to all sectors could be difficult.

- a. *Emerging solutions:* Consult and coordinate with existing cross-sectoral working groups focusing on climate adaptation and mitigation to avoid duplication of efforts; ensuring the early involvement of a diverse range of stakeholders and actors across scales and sectors to foster ownership and collaboration.

41. **Resources to set up and sustain the MEL framework:** Difficulty in securing the necessary financial and technical resources for designing, supporting, and adjusting the MEL frameworks present a barrier for developing countries vis-à-vis low technical and financial capacity and potential staff turnover. Inadequate resources also threaten the effectiveness of an iterative MEL system.

- a. *Emerging solutions:* Create a realistic assessment of the capacities required for actors to design and implement MEL for adaptation and provide the necessary capacity-building opportunities to address gaps; and ensure redundancy of MEL of adaptation capacities, fostering MEL-related roles and responsibilities across various sectors, levels, and scales. Explore and mobilize a diverse range of funding sources for MEL for adaptation. And

¹¹ Dekens, J. (2021). *Simplicity in Crafting Effective Monitoring, Evaluation, and Learning Systems for National Climate Adaptation*. NAP Global Network and the International Institute for Sustainable Development. <https://nappglobalnetwork.org/2021/11/crafting-effective-monitoring-evaluation-systems/>

encourage line ministries and the budgeting and planning ministries to consider the resources required for MEL as part of their planning and budgeting processes.

42. **Gender integration:** There is a low capacity for designing gender-responsive MEL systems to monitor, evaluate, and learn from the adaptive capacity of women, men, girls, and boys.
- a. *Emerging solutions:* Conduct ongoing awareness raising and capacity-building, including training for technical staff and decision-makers.
43. **Data requirements:** There presents a consistent challenge in integrating both qualitative and quantitative measurements effectively in a coherent manner; and measuring and learning from 'negative change' (maladaptation) are often overlooked.
- a. *Emerging solutions:* Foster reflective processes about the MEL outputs, involving stakeholders from multiple sectors and the scientific community as appropriate. And use a process to prioritize and select the data that need to be collected and the indicators to monitor (go straight to the point, start small, be boldly pragmatic, and expand and complement the indicators over time). And seeing the standardization of indicators to foster regional comparisons and strengthen articulation.
 - b. It is often easier to pilot tools with actors who have great influence and high interest in the MEL of climate adaptation, such as a sector ministry and/or local government that has already integrated adaptation considerations in its sectoral or local development plan. These first movers can then influence other actors to participate in the MEL of national climate adaptation.¹²

Responding to guiding question 10(c): What are the opportunities, good practices, lessons learned and success stories?

44. From the NAP Global Network's experience, there are many opportunities and good practices that enable countries to develop and deploy robust MEL frameworks for adaptation. A guidebook "[Developing national adaptation monitoring and evaluation systems: A guidebook](#)" published jointly by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and IISD provides more detailed guidance on the national MEL of adaptation.

45. **Purpose and use of MEL of adaptation:** Utilizing MEL as an enabler for adaptive management an iterative implementation of adaptation actions, and informing updates and strategic decisions. MEL frameworks could strengthen accountability and allow showcasing of results on the international stage.

46. **Learning opportunities:** Lessons and experiences from adaptation implementation could be captured by the MEL framework to strengthen capacities for evolving adaptation contexts and needs.

47. **Cross-sectoral partnerships:** Developing new partnerships, and demonstrating progress and results within and across sectors and levels could build support for adaptation from different stakeholders, including taxpayers, constituents, and development partners.

¹² Dekens, 2021.

48. **Resource efficiency:** MEL for adaptation allows plans and policies to build on what already exists to avoid duplication of efforts, conserve resources and benefit from the data, experiences, and proven strategies and tools. It would also allow gathering evidence on costs saved and co-benefits to build support, develop a business case, and scale up successful approaches.

49. **Ownership and sharing:** Using MEL for adaptation as a platform for coordination and dialogue across sectors and levels could ensure collective and cross-sectoral construction of indicators to foster ownership and knowledge-sharing.

50. **New partnerships and investment:** MEL for adaptation allows the identification of gaps to inform new investment decisions and articulate efforts with development partners; and decentralized information and processes facilitate the involvement of sub-national actors and non-traditional sectors (such as defense) in adaptation.

Box 3: Emerging solutions to developing MEL of national adaptation

51. Engaging all those responsible for implementing the adaptation priorities from the start:
- Why?** Ensure the system is useful to those responsible for implementing adaptation actions; capture the contribution and lessons learned from a range of actors; and build on existing MEL tools and mechanisms.
 - How?** Clear roles and responsibilities among stakeholders; assess their capacity to contribute and build capacities where necessary; and support information exchange through multi-stakeholder platforms.
 - Example?** [Fiji's data mapping exercise](#).
52. Establish a legal mandate for the MEL of national adaptation:
- Why?** To ensure the MEL system is regular, systemic and adequately resourced versus ad hoc and dependent on available resources.
 - How?** Inform and articulate the development of the MEL system with relevant legislation and policies/plans; and it must be combined with ongoing awareness raising about the role of MEL in adaptation.
 - Example?** [Kenya's Climate Change Act \(2016\) provides the high-level mandate](#). And [Fiji's Climate Change Bill 2021](#) is also a good example.
53. Start simple – pilot, learn and expand progressively:
- Why?** MEL systems take time to develop and operationalize; and simplicity ensures longevity.
 - How?** Be pragmatic, use a phased approach and make informed trade-offs; build on what already exists and pilot with actors who have high influence and high interest in MEL of adaptation.
 - Example?** [Tonga's process indicator monitoring questionnaire](#) measures the implementation progress of its NAP document.
54. Establish a clear basis for designing the MEL system before jumping into indicator identification:
- Why?** Data and information required for the MEL system depend on the purpose and objective of the system (not vice-versa).
 - How?** Identifying the purpose, objectives, and key building blocks of the MEL system is a good first step.
 - Example?** [Kiribati's M&E framework for its NAP document](#) outlines the key components and building blocks of its M&E system.

55. Identify a set of methods and tools to convert existing data into useful and usable formats:
- Why?** The main issue is often not the lack of data but understanding which data and information really matter.
 - How?** Explore different tools to simplify and analyze existing data; and use multiple sources of data and information through robust data protocols.
 - Example?** [Kiribati's sector scorecards](#) are a good example of using different tools to collect relevant information.
56. Use community vulnerability assessments to inform MEL of national adaptation:
- Why?** Community vulnerability assessments provide baselines to monitor trends in vulnerability, especially when sex-disaggregated data is collected and with the participation of vulnerable groups and communities. It could also link MEL of adaptation at both the national and sub-national levels.
 - How?** Establishing a common methodology for comparison and replication; using an integrated, cross-sectoral approach; utilizing digital technologies; and ensuring sustained investments in resources and capacity building.
 - Example?** [Tuvalu's Integrated Vulnerability Assessment](#) reporting process.
57. Look for alignment with different reporting requirements:
- Why?** Information collected via the NAP process could inform progress on the NDC, SDGs, and the Sendai Framework (and vice versa).
 - How?** Identifying entry points for synergies with existing national development reporting processes and decide which type of information to report via which channels, and when.
 - Example?** [Tonga NAP II M&E system](#) is linked with the government's corporate reporting development plans.

Source: <https://napglobalnetwork.org/2020/09/virtual-learning-event-me-for-national-adaptation-in-pacific-sids/>

Referenced Resources

- Developing National Adaptation Monitoring and Evaluation Systems: A Guidebook (<https://napglobalnetwork.org/resource/developing-national-adaptation-monitoring-and-evaluation-systems-a-guidebook/>)
- sNAPshot | Monitoring and Evaluation in the NAP Process: Opportunities, challenges and emerging solutions (<https://napglobalnetwork.org/resource/snapshot-monitoring-evaluation-nap-process-opportunities-challenges-emerging-solutions/>)
- Simplicity in Crafting Effective Monitoring, Evaluation, and Learning Systems for National Climate Adaptation (<https://napglobalnetwork.org/2021/11/crafting-effective-monitoring-evaluation-systems/>)
- sNAPshot | Kenya's Monitoring and Evaluation of Adaptation: Simplified, integrated, multilevel (<https://napglobalnetwork.org/resource/snapshot-kenyas-monitoring-and-evaluation-of-adaptation-simplified-integrated-multilevel/>)
- sNAPshot | Colombia's Progress in Developing a National Monitoring and Evaluation System for Climate Change Adaptation (<https://napglobalnetwork.org/resource/snapshot-colombias-progress-in-developing-a-national-monitoring-and-evaluation-system-for-climate-change-adaptation/>)

Ecosystem-based Adaptation

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

58. **Ecosystems and ecosystem services are sensitive to the changing climate.** The vulnerabilities of the natural environment and ecosystems to climate change are well recognized in NAPs. As of December 31, 2021, 24 (80%) of NAPs mention ecosystems in their vulnerability assessments and climate information sections. Countries usually recognize the economic and social losses resulting from ecosystem degradation and biodiversity decline. This reflects a broad recognition of the importance of ecosystems and ecosystem services to people and livelihoods, and as a buffer to climate-induced disasters. Within NAP documents, forest, freshwater, and coastal/marine ecosystems are most identified as vulnerable to climate change.

59. **Ecosystem-based Adaptation (EbA)** is a type of nature-based solutions with a focus on climate adaptation. It is “the use of biodiversity and ecosystem services as a part of an overall adaptation strategy to help people adapt to the adverse effects of climate change.”¹³ It is a people-centric approach that is designed to deliver adaptation outcomes and socioeconomic benefits for people, while protecting ecosystems and biodiversity that are impacted by climate change. When well designed and implemented, EbA could yield more cost-effective adaptation outcomes than traditional engineered solutions.

60. **The NAP process provides a framework for mainstreaming, mandating, and scaling up EbA across national and subnational adaptation planning processes.** As of December 31, 2021, over half of the submitted NAPs (19; 63%) mention EbA or identify EbA measures among adaptation actions. The most frequently identified vulnerable ecosystems – forest, freshwater, and coastal/marine ecosystems – have the most corresponding EbA measures. These include, inter alia, sustainable water management, forest and pasture restoration, mangrove restoration and coastal protection, coral reef conservation and restoration, and wetland and peatland conservation and restoration.

61. Planning and implementing EbA solutions within the NAP process also provide an opportunity for countries to **explore national-level synergies in advancing biodiversity protection with adaptation objectives** that would enable them to meet multiple international obligations. As of December 31, 2021, 16 NAPs explicitly mention alignment with their countries’ National Biodiversity Strategy and Action Plan (NBSAP) under the UN Convention on Biological Diversity (CBD); and 11 NAPs referred to the SDGs, especially SDGs 14 (Life Below Water) and 15 (Life on Land).

Responding to guiding questions 9 and 10(a): How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement? What further action is required?

¹³ Convention on Biological Diversity. (2009). *Connecting biodiversity and climate change mitigation and adaptation: Report of the Second Ad Hoc Technical Expert Group on Biodiversity and Climate Change* (CBD Technical Series No. 41). Secretariat of the Convention on Biological Diversity. <https://www.cbd.int/doc/publications/cbd-ts-41-en.pdf>

62. To enhance the implementation of EbA solutions towards achieving the long-term goals of the Paris Agreement, further mainstreaming and capacity-building are required. Countries need to adopt the notion that **sustainable economies and people’s wellbeing are embedded in and rely on healthy ecosystems, and the NAP process should be leveraged to advance the protection of biodiversity with climate adaptation goals**. EbA has the potential to “bring together diverse stakeholders, bridge silos across ministries or sectors, and enable creative solutions for societal challenges.”¹⁴ The NAP process is an excellent vehicle for mainstreaming EbA across all sectors, in particular non-conservation sectors, such as infrastructure, health, energy, and urban environment.

63. EbA solutions’ planning and implementation could be further enhanced by **applying effectiveness criteria and developing measurable and time-bound targets** to ensure they deliver the intended outcomes. To qualify as an EbA solution, actions must explicitly focus on adaptation needs and address the identified current or future climate hazard. Climate vulnerability assessments of ecosystems and communities in relation to ecosystem services and biodiversity decline are thus crucial parts of the NAP process to be strengthened. Other effectiveness criteria for consideration include, inter alia, generating adaptation benefits for identified vulnerable groups and communities, the sustainable use of biodiversity, and the incorporation of Traditional and Indigenous Knowledges. Further, setting targets that are specific, measurable, attainable, relevant, and time-bound (SMART) as a part of the overall MEL framework for NAP ensures the impacts of EbA investments are captured, including impacts not only on adaptation, but also on ecosystem health and the overall well-being of the vulnerable communities. Learning from this information will further support the refinement and enhancement of EbA actions, and the GST process in the future.

64. Lastly, **applying principles and safeguards for EbA implementation early on enhances adaptation outcomes**.¹⁵ Robust safeguards and principle-driven implementation would increase community buy-in and address potential concerns. Three key social and environmental safeguards include: 1) ensuring that EbA actions are gender-responsive and promote gender equality and the empowerment of the most vulnerable communities; 2) ensuring good governance and equity in EbA actions’ implementation, including the use of rights-based approach to protect human rights and the rights of Indigenous peoples; and 3) recognizing healthy ecosystems underpin EbA, and the implementation of EbA should enhance biodiversity and ecosystem resilience. Inclusive and meaningful stakeholder engagement should be undertaken to develop specific principles and safeguards.

Responding to guiding question 10(b): What are the barriers and challenges, and how can they be overcome at national, regional and international levels?

65. Though ecosystem services’ importance is usually recognized in NAPs, **very few NAPs move beyond a purely economic productivity point of view vis-à-vis ecosystem services**. They are often positioned in generic terms, such as natural resources provision to sustaining livelihoods, which will be negatively impacted by climate change. Very few NAPs focus on the potential of

¹⁴ Lo, V., Qi, J., & Jang, N. (2022). *Seeking Clarity on Nature-Based Climate Solutions for Adaptation*. International Institute for Sustainable Development. <https://www.iisd.org/system/files/2022-06/seeking-clarity-nature-based-climate-solutions-adaptation-en.pdf>

¹⁵ **Safeguards**, in an EbA context, include principles, standards, and guidelines that directs certain measures to be undertaken prior to or during nature-based solutions’ implementation, in order to avoid undesirable social and environmental harms and ensure they meet local communities’ and ecosystems’ needs.

ecosystems as an adaptation option. This narrow view of ecosystems' role in adaptation reflects a broader **lack of awareness and understanding** of how to use ecosystem goods and services to help people adapt to the observed and projected climate shocks and risks identified in NAPs. In turn, scaling up effective EbA could be difficult when ecosystems and ecosystem services are being predominantly framed in a natural resources provision lens.

66. EbA, and nature-based solutions in general, is still a contentious concept within the UNFCCC process. Key concerns over these concepts stem from **harms of the potential misuse of NbS** – in particular, the lack of respect for local and Indigenous communities and their rights and free, prior, and informed consent – as well as **concerns over the commodification and privatization of nature**. Ensuring safeguards are well incorporated and implemented for EbA projects is thus critical for their success. Additionally, the lack of a legally binding definition of nature-based solutions like EbA within the UNFCCC process also poses barriers to their mainstreaming. However, definitions from other multilateral processes, such as the CBD,¹⁶ IUCN,¹⁷ and the UN Environment Assembly,¹⁸ could be referenced as a starting point for the NbS discussion within the UNFCCC.

67. **The identification of financial resources for EbA** continues to be a challenge and barrier to its mainstreaming in NAPs. Though many NAPs have identified financial resources to support their implementation, very few explicitly identify specific sources to support EbA's implementation. The current lack of robust evidence base, potential concerns over EbA mentioned above, low political will and buy-in, and the lack of awareness of the differences between conventional conservation measures and EbA contribute to the barriers in accessing financing for EbA. The private sector has a role in supporting EbA. Fiji's NAP was the only one that explicitly mentioned the important role of the private sector and the imperative to raise awareness of ecosystem services in the private sector. With the increasing momentum of nature-based solutions around the world, potential multilateral or bilateral opportunities could be leveraged to support EbA's mainstreaming and implementation.

Responding to guiding question 10(c): What are the opportunities, good practices, lessons learned and success stories?

68. The NAP Global Network's guidance note "[Building Resilience With Nature](#)" provides 8 entry points for **mainstreaming EbA through the NAP process**. View the guidance note for more information on each entry point and practical steps to put these into action.

- a. Emphasize the role of ecosystems in vulnerability reduction for people, their livelihoods, and socioeconomic development.
- b. Take an ecosystem-level approach to assessing vulnerability and risks using the best available science, as well as Indigenous and Traditional Knowledge.
- c. Adopt an integrated approach that considers ecosystems across all sectors in the NAP process.

¹⁶ Convention on Biological Diversity (2009).

¹⁷ International Union on the Conservation of Nature. (2020). IUCN global standard for nature-based solutions (1st ed). <https://portals.iucn.org/library/node/49070>

¹⁸ United Nations Environment Programme. (2022). *Resolution adopted by the United Nations Environment Assembly on 2 March 2022 5/5. Nature-based solutions for supporting sustainable development*. UNEP/EA.5/Res/5. United Nations Environment Assembly of the United Nations Environment Programme. <https://wedocs.unep.org/bitstream/handle/20.500.11822/39864/NATURE-BASED%20SOLUTIONS%20FOR%20SUPPORTING%20SUSTAINABLE%20DEVELOPMENT.%20English.pdf>

- d. Embrace global policy alignment by considering synergies with other relevant international commitments that EbA solutions contribute to.
- e. Make use of the participatory and inclusive nature of the NAP process to design the most appropriate and effective EbA solutions.
- f. Use the NAP process to engage subnational and local level governments in the design and implementation of regional and local EbA solutions.
- g. Adopt a long-term approach and ensure sufficient resources for the implementation of EbA solutions
- h. Ensure accountability and performance by building an evidence base for EbA solutions as part of an overall NAP M&E system.

Box 4: How Fiji is using the NAP process to scale up EbA

69. The Republic of Fiji communicated its NAP to the UNFCCC in 2018, outlining the government’s approach to adapting to climate change and building resilience through a whole-of-government approach. Its NAP accentuates the importance of EbA and emphasizes the need for integrated actions that confront the climate crisis, while protecting biodiversity and putting people’s livelihoods at the forefront. Fiji uses EbA as an integrated approach to meet multiple policy objectives and goals:

- a. Fiji’s NAP **places people, livelihoods, and socioeconomic development at the centre** of its EbA planning. Through the early integration of EbA, the NAP was able to take a socioecological system lens to development planning that supports the understanding of interactions between human activities and their impacts on the whole ecosystem and vice versa.
- b. The NAP **draws clear linkages between Fiji’s NBSAP and its NAP**, which facilitates the integration between biodiversity policies and climate change adaptation plans. This creates intentional integration of commitments under the UNFCCC, the CBD, the SDGs, and the Sendai Framework for Disaster Risk Reduction.
- c. Fiji **positions EbA as an effective solution to bring together tangible outcomes across crucial sectors** for human well-being and economic growth, including the agriculture, infrastructure, health, and tourism sectors.
- d. Through the **participatory and inclusive approach with a strong focus on gender equity, human rights, and biodiversity**, Fiji’s NAP accentuates the resilience of people, communities, and ecosystems in national adaptation planning and implementation. It also puts an emphasis on policy coherence and vertical integration in subnational development planning processes and subnational EbA policies, recognizing the localized nature of adaptation needs and local vulnerabilities and priorities.

Further information: <https://napglobalnetwork.org/wp-content/uploads/2021/06/napgn-en-2021-snapshot-fiji-using-nap-to-scale-up-eba.pdf>

Referenced Resources

- Building Resilience With Nature: Maximizing Ecosystem-based Adaptation through National Adaptation Plan Processes (<https://napglobalnetwork.org/resource/building-resilience-with-nature/>)
- Building Resilience With Nature: Ecosystem-based Adaptation in National Adaptation Plan Processes (<https://napglobalnetwork.org/resource/building-resilience-with-nature-eba-in-nap-processes/>)
- Seeking Clarity on Nature-Based Climate Solutions for Adaptation (<https://ncal.iisd.org/resources/seeking-clarity-on-nature-based-climate-solutions-for-adaptation/>)
- NAP Trends platform (<https://trends.napglobalnetwork.org/>)

Strategic Communication of Adaptation Actions

Responding to guiding question 7: What efforts are being undertaken to plan, implement and accelerate adaptation action towards achieving the goals defined in Articles 2.1 (b) and 7.1 of the Paris Agreement and with a view to recognizing the adaptation efforts of developing country Parties, what efforts have been undertaken by these Parties towards achieving these goals?

70. Facing the myriad of challenges posed by climate change, the NAP process brings together a diversity of actors and stakeholders. Clear and purposeful communications with this broad range of actors and stakeholders are necessary for governments when engaging with their public on climate adaptation. A **strategic approach to communications** means “key messages are tailored for priority audiences and delivered through the most appropriate communications channels to reach those audiences” and ensuring the public’s views are “reflected in the adaptation actions that are prioritized, while engaging stakeholders in the implementation and the monitoring and evaluation of these adaptation actions.”¹⁹

71. Countries have taken a diverse approach to communicate activities around NAP processes. As of December 31, 2021, almost all NAPs (29; 97%) mention communications and information sharing being a priority. Most NAPs consider awareness raising (18), public engagement (15), and education or curriculum development (14) to be the top-three priority elements of communications strategy. Other elements mentioned by NAPs include internal engagement within government (9), behavioural change (9), etc.

Responding to guiding questions 9 and 10(a): How can the implementation of adaptation action towards achieving the goals defined in Articles 2.1(b) and 7.1 of the Paris Agreement be enhanced, taking into account the adaptation communication referred to in paragraph 10 of the Paris Agreement? What further action is required?

72. Strategic communications – both a long-term, continuous strategy and a short-term communications campaign – can help **support the different stages of the NAP process**. These include during the initiation and development of the NAP process, the implementation of adaptation actions, and at the end, communicating the results of adaptation implementation (see Figure 1).

73. Strategic communication is an iterative process that would enhance the NAP process. When tailored to a country’s unique national circumstances, strategic communication strategies for the NAP process could make adaptation implementation more effective and inclusive. Focused communication strategies with clear messages, priority audiences, targeted

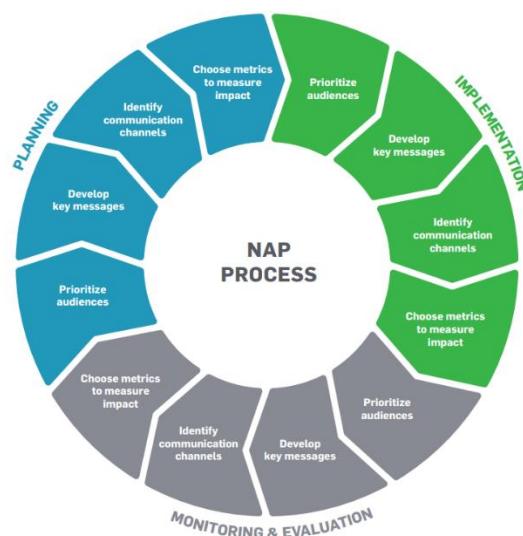


Figure 1. Example of how strategic communications could be aligned with stages of the NAP process

¹⁹ Ledwell, C. (2018). *sNAPshot | Strategic Communications for National Adaptation Plan (NAP) Processes*. International Institute for Sustainable Development. <https://napglobalnetwork.org/resource/snapshot-strategic-communications-national-adaptation-plan-nap-processes/>

communications channels, and metrics for measuring impact, could help government engage the various stakeholders in the NAP process.

74. Strategic communications could ‘socialize’ the NAP across government institutions, supporting horizontal coordination and sectoral integration efforts. It helps to communicate to the different sectors the importance of adaptation and the purpose of the NAP Process, and to build their capacities of adaptation.

75. The NAP Global Network’s brief “[Strategic Communications for National Adaptation Plan \(NAP\) Processes](#)”²⁰ provides practical steps for developing strategic communication strategies for the NAP process. The following is a synthesis of the brief. Please view the full document for more information.

- a. **Prioritizing audiences.** The identification of priority audiences should be done at each of the different stages of the NAP process. The Influence-Interest grid could support this prioritization process. This mapping exercise could ask the questions, inter alia, who is already championing the NAP process? Are there influential actors who can be persuaded to support the NAP process? Are there groups that support climate action that have less influence, but whose support could be leveraged if they are kept informed?
- b. **Developing key messages and message supports.** Key messages should be developed for each of the priority audiences identified. They should be concise and in plain language, avoiding jargon and acronyms where possible. Message supports include statistics with meaningful numbers that illustrate the scale of climate impacts and the benefits of adaptation; human interest stories to make messages more relatable and less abstract; and memorable phrases like sound bites, slogans and catchphrases.
- c. **Identify communications channels.** Communication channels should be chosen based on an analysis of the types of media being used by priority audiences, including, inter alia, policy briefs or articles, traditional broadcast channels like radio and television, and social media. Communicating through civil society champions and building relationships with journalists are important steps in developing a communication strategy.
- d. **Choosing metrics to measure impact.** Communication goals should meet SMART criteria and be specific to the communications channel that are being used. Surveys on understanding climate change issues can be a valuable means to monitor progress in awareness raising.

Responding to guiding question 10(c): What are the opportunities, good practices, lessons learned and success stories?

Box 5: Strategic communications in Peru’s NAP process

76. In 2016, Peru developed a communications strategy to support its NAP process. The objective of the strategy is to **drive adaptation action through opportunities for dialogues** – building high-level political support and fostering a broad participatory and inclusive stakeholder engagement process through awareness-raising among rural and urban populations, civil society groups, the private sector, and journalists and communicators.

²⁰ Ledwell (2018).

77. The strategy outlines a series of guiding principles for communication, including employing an **intercultural approach** and an **intergenerational perspective**, and carefully considering **gender dynamics** and tailoring the design of communications activities accordingly.

78. The communications strategy prioritized dialogues and engagement with all stakeholders. The *Diologuemos sobre Cambio Climático* (“Let’s talk about climate change”) process engaged stakeholders from all of Peru’s 24 regions in 2017. Peru also hosted a series of National Communicators Workshops with regional communicators, journalists, and champions on best practices and experiences with communicating climate change information to the general public and how to use virtual tools for communications capacity building in the time of COVID-19.

79. Key lessons learned from Peru’s experience with strategic communications include:

- a. **Communication activities should be developed to achieve clear objectives** to support the NAP process and climate action. Building political will, raising awareness, and building links with adaptation in the NDC enriched and contributed to the success of multiple domestic climate action objectives.
- b. **The NAP process should establish an ongoing dialogue.** A communications strategy helps foster and activate dialogue across regions and stakeholder groups to enhance the NAP process.
- c. **Diversity is a strength.** Various styles, messages, and languages should be deployed to reach people of different backgrounds, ages, genders, formal education, and income levels.
- d. **Everyone has an important message to contribute.** Stories told by farmers, bus drivers, Indigenous youth, or health workers about their experiences and responses to climate impacts are powerful for raising awareness. The relevance of these stories helps empower more people to get involved in climate action.
- e. **Government communicators should learn from NAP process communications experiences from around the world to adopt good practices.** Peru’s communications strategy benefitted from lessons and experiences from Saint Lucia, Fiji, Mexico, Colombia, and Tanzania. These exchanges fueled the creativity and the successful communications activities under Peru’s NAP process.
- f. **Journalists and communicators are important allies for the government-led NAP process.** Non-governmental communicators are an integral part of the effort to increase the public’s understanding of climate adaptation and build a national dialogue around adaptation actions.

Further information: <https://napglobalnetwork.org/wp-content/uploads/2020/08/napgn-en-2020-strategic-communications-in-perus-nap-process.pdf>

Referenced Resources

- sNAPshot | Strategic Communications for National Adaptation Plan (NAP) Processes (<https://napglobalnetwork.org/resource/snapshot-strategic-communications-national-adaptation-plan-nap-processes/>)
- sNAPshot | Strategic Communications in Peru’s National Adaptation Plan (NAP) Process (<https://napglobalnetwork.org/resource/snapshot-strategic-communications-in-peru-nap-process/>)
- sNAPshot | Strategic Communications for the National Adaptation Plan (NAP) Process in Saint Lucia (<https://napglobalnetwork.org/resource/strategic-communications-national-adaptation-plan-nap-process-saint-lucia/>)
- NAP Trends platform (<https://trends.napglobalnetwork.org/>)

About the NAP Global Network

The NAP Global Network was created in 2014 to support developing countries in advancing their NAP processes and help accelerate adaptation efforts around the world. To achieve this, the Network facilitates South-South peer learning and exchange, supports national-level action on NAP formulation and implementation, and generates, synthesizes, and shares knowledge. The Network's members include individual participants from more than 155 countries involved in developing and implementing National Adaptation Plans. Financial support for the Network has been provided by Austria, Canada, Germany, Ireland, the United Kingdom, and the United States. The Secretariat is hosted by the International Institute for Sustainable Development (IISD). The ideas, opinions and comments therein are entirely the responsibility of its author(s) and do not necessarily represent the NAP Global Network's funders' policies.



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