



## **SUBMISSION BY SWEDEN AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES**

Stockholm, 16 February 2023

**Subject:** 2023 PCCB focus area 'Capacity-building support for adaptation, with a focus on addressing gaps and needs related to formulating and implementing national adaptation plans'

### **In your experience, what are the key capacity gaps and needs of developing countries related to formulating & implementing NAPs?**

Formulating and implementing a NAP is a complex process. Capacity gaps can only be generalized to a limited extent as NAP processes are country-specific, country-driven, iterative, and build on action already undertaken.

Capacity gaps include - but are not limited to - the ability to carry out solid vulnerability and risk assessments, facilitate inclusive stakeholder engagement, perform multi-criteria analysis, develop and roll out effective strategic communications. Thus, all areas identified in the original form of this call for submission can potentially constitute key capacity gaps depending on the current state of progress of the NAP process in a given country.

The limited capability to prepare and submit successful funding proposals to global climate funds such as the Green Climate Fund (GCF), multilateral development banks or other donors is another gap that severely limits the ability of developing countries to access the financial resources required to formulate and implement their NAPs. In fact, with many countries still being in the first phase of NAP development (i.e.: formulation) access to financial support is an initial challenge. Such challenge appears to be even bigger when preparing funding proposals for activities/projects aiming to implement NAPs. Since the establishment of the GCF's Readiness and Preparatory Support Program in 2016, financing to strengthen institutional capacities, governance mechanisms, and planning and programming frameworks has become available to developing countries. Nevertheless, capacity challenges persist as countries often find it difficult to comply with the technical requirements of GCF funding proposals. For reference, as of October 2022, 25 LDCs and 48 other developing countries have received disbursement from the GCF

Readiness Program (source: FCCC/SBI/2022/19). 42 out of 46 LDCs and 71 other developing countries have submitted proposals.

NAPs may or may not be accompanied by a reliable estimate of the costs needed to implement the adaptation measures they contain. The existence of a credible financing strategy is an enabler for attracting funding as it provides potential donors/financiers with valuable information for decision-making and planning purposes. Support in developing partner countries' capacity to carry out accurate cost assessments and estimates would benefit the process of NAP formulation and implementation. Similarly, the formulation of credible implementation strategies is crucial as well. As only 14 of 37 NAPs submitted as of 21 October 2022 had accompanying implementation strategies<sup>1</sup>, the reinforcement of partner countries' capacities to draft one has the potential to increase the impact of NAPs.

Monitoring and evaluation (M&E) processes are particularly important to track progress in adaptation and require different approaches, such as the assessment of the adaptive capacity, the reductions in vulnerability, and the qualitative improvements in mainstreaming adaptation. Capacity gaps exist in the ability of developing countries to set up and make use of comprehensive M&E systems for, inter alia, NAP implementation, and to report on progress for different purposes.

**In your experience, what have been the key challenges with regard to the provision of capacity-building support in this area to date?**

*Challenge:* The complexity of the NAP process creates a multitude of different capacity gaps and, hence, capacity needs. Capacity building support offers exist that could match part of those needs at country level or could be tailor-made to respond to them. However, requests for provision of support should be clearly communicated by partner countries as part of a comprehensive capacity building plan, with an indication of the priorities and the NAP formulation or implementation stage the support is intended for.

*How could this challenge be addressed?* Clear communication of capacity building needs and continuous review of offered topics and forms of delivery by support providers can improve the consistency between supply and demand.

*Challenge:* Limited human resources and high staff turnover rates in relevant ministries and agencies severely impacts the ability to maintain institutional capacity over time.

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<sup>1</sup> <https://trends.napglobalnetwork.org/>

How could this challenge be addressed? Knowledge preservation, management and dissemination across staff is key in a changing institutional environment. Dedicated knowledge management practices should be adopted by relevant ministries and agencies. In addition, capacity-building on climate policy and strategy needs to strongly support inter-sectoral coordination mechanisms with a clear mandate to support mainstreaming in all sectors and to facilitate learning among units.

Challenge: Many capacity-building projects have contributed to improving climate policies and strategies. Yet, the support provided often fell short of translating such policies in rules and regulations that would have helped effective implementation of climate adaptation interventions.

How could this challenge be addressed? Capacity building activities should cover not only the formulation and implementation of NAPs, but also address the needs all over the chain down to the intervention level – including subnational and local actors who will have to deal with adaptation activities (i.e.: vertical integration).

Challenge: Climate data and evidence base can be rather limited especially in most vulnerable countries. This implies limited access to the information to be analysed in a view of determining where and how vulnerabilities and risks are distributed in a country and designing the most appropriate response measures which can be part of a NAP. Data scarcity also generates a knowledge gap about how to deal with existing information.

How could this challenge be addressed? Ensuring support for the development and implementation of innovative approaches aimed at open-source data collection towards the creation of shared databases to be used as a support to fill the existing knowledge (data) gaps and needs. As such, the NAP Expo initiative - designed to mobilize as much input as possible from actors and stakeholders with a view to supporting LDCs in building data and capacity for the development of their NAPs – could be used as a tangible application.

Challenge: In-depth assessments of individual and/or institutional capacity needs are not regularly undertaken. This implies a lack of understanding about who and when should be supported for capacity building purposes in view of NAP formulation and implementation.

How could this challenge be addressed? Capacity needs assessment of key actors could be conducted, and a baseline of key gaps and needs compiled. This would allow monitoring the evolution of country's needs development over time. This exercise should take into

account complementarities between existing initiatives on climate change capacity development carried out by donors or other implementing partners.

### **How can existing capacity-building efforts be improved? What kind of new or additional capacity-building efforts are needed to ensure the effective formulation & implementation of NAPs?**

#### *General considerations (applicable to all levels)*

Capacity building is not only important at one point of time but is integral over time along the whole adaptation cycle. In this context, different types of activities can support and improve the already existing capacity building efforts such as targeted events, sharing information through web platforms (e.g.: Nairobi Work Programme) and/or portals (e.g. [Climate-ADAPT](#) and its additional instruments; [Adaptation Community](#) and its knowledge products), newsletters, etc. Partnerships and sharing of experiences and knowledge are important contributors to further increase capacity building and learning over time. Making use of such additional instruments on top of traditional capacity building activities may help increase impact.

Capacity-building needs to be customized to individual country needs – thus “new” or “additional” approaches will largely depend on the current state of knowledge and familiarity with NAP processes. Capacity building objectives should be adapted to the target stakeholders.

Capacity building activities tend to focus on the national level, with central government ministries and agencies being the main beneficiaries. Subnational and local actors, who will have to deal with adaptation activities, can be easily forgotten. Stakeholders should be considered all along the “delivery chain” of adaptation, including at the sectoral, subnational and local levels.

South-South exchange can support capacity building for NAP processes through the sharing of successful adaptation practices, especially in comparable climate and environmental contexts, facilitating the transfer of knowledge and skills related to vulnerability and risk assessment, disaster preparedness, and climate-resilient development planning. Providing spaces for south-south exchange is therefore crucial.

Additional points of attention when delivering capacity building activities would include:

- A focus on the need to strengthen a coordinated, multi-sectoral approach to NAP formulation and implementation.

- The need to align NAP processes with other relevant strategies including NDCs, AdComs, and NDRRS.
- A preference for “readiness for implementation”, which includes the knowledge needed for delivering on the expected NAP results (incl. costing & prioritization).
- Prioritizing the development of skills for expanding the financial resource base for NAP formulation and implementation, incl. domestic resource mobilization, access to and use of international public finance, and mobilization of private capital.
- The identification of the most suitable institutional arrangements for NAP formulation and implementation.
- Information sharing, incl. quality datasets, tools and manuals for awareness raising, public engagement or education.

#### National level

At the national level, facilitating dialogues and sustained engagement among governmental entities leading the NAP process is key. Enhanced collaboration between these authorities could redirect the efforts needed to develop robust adaptation strategies and financing measures in the medium and long term.

The existence (or appointment) of a government body in charge of regularly monitoring and assessing climate adaptation capacity (as part of a NAP) may help enhance and further build existing capacity.

#### Subnational level

While gender and vulnerable groups considerations have been generally mainstreamed at national level, these are often not involved at the local level. Empowering such vulnerable groups (e.g.: women, youth, indigenous people) through specific capacity building activities may help modify their role to that of agents of change.

#### Regional level

The regional coordination of the response to the effects of climate change can supplement national efforts, particularly with regard to adaptation, given the transboundary nature of climate impacts, the extent of shared natural resources and

ecosystems, and the common risks that territories of the same geographical areas can face. Regional institutions such as river basin authorities or Regional Economic Organizations can be valuable actors in the formulation of such joint responses. As such responses have to be built on a common understanding of the challenges at stake, it would be essential that such organizations possess the appropriate technical and institutional expertise to develop and coordinate regional response actions or plans, which in some cases intersect NAPs. Building the capacity of these organizations to perform such tasks is an area where additional efforts could be directed. The recent adoption of the ECOWAS Regional Climate Strategy, with the financial support of the EU, is an excellent example of the possible outcome of such process.

**Who should be the target recipients of such capacity-building, and who could provide it?**

Recipients:

Stakeholders need be considered all along the “delivery chain” (vertical & horizontal) of adaptation, including at the sectoral, subnational and local levels with customized approaches for the different societal actors and groups (see above for more details).

Providers:

Experienced providers include:

- Specialized UN agencies (e.g.: UNDP, UNEP, FAO, etc.)
- Developed countries’ implementing agencies
- Donor-funded technical facilities and project/programme experts
- Local experts
- Research institutes / universities (both local and external)
- Specialized international networks (e.g.: NAP-GN, etc.)
- International coalitions and alliances (e.g.: NDC Partnership)
- Multilateral development banks
- Private sector providers / consultancies

- Non-governmental organizations active in the climate adaptation field
- Philanthropies

## **Case studies, good practices, tools, lessons learned, or examples of support**

### ***a) The Global Climate Change Alliance experience***

In 2007, the EU launched the Global Climate Change Alliance (GCCA+) flagship initiative to help developing countries most vulnerable to climate change increase their capacity to adapt to the effects of climate change. The initiative also aimed to help countries participate in the mitigation effort. The initiative supported more than 100 climate actions in 70+ countries in Africa, Asia, the Caribbean, and the Pacific, for a total EUR 729 million budget between 2007 and 2020. The GCCA(+) based its approach on two pillars: a) fostering dialogue and knowledge sharing, for example via national or international conferences and workshops; b) providing technical and financial support for adaptation, mitigation and disaster risk reduction measures. This support ranges from capacity building or technical assistance for national, regional, or local authorities to concrete actions testing new approaches or scaling up successful pilots.

The initiative successfully supported capacity building and its onward impact by:

- Adopting an inclusive approach that included stakeholders at all levels (national, subnational, local).
- Promoting inter-ministerial coordination in sometimes highly fragmented institutional landscapes with regards to responsibilities for climate change policy that characterizes many developing countries.
- Supporting countries in making the necessary steps to move from policy to the effective implementation of climate change adaptation interventions.

### ***b) The South Africa National Climate Change Adaptation Strategy***

GIZ and the NAP Global Network supported the South African Department of Forestry, Fisheries and the Environment to elaborate the country's National Climate Change Adaptation Strategy – which also serves as NAP. The NCCAS is directed not only at national government departments, but speaks to South African society, including key relevant sectoral institutions, provincial governments and municipalities, and non-governmental entities including the private sector, the research community and civil society.



As far as capacity building is concerned, the NCCAS builds upon a comprehensive awareness and capacity building strategic intervention that: addresses municipalities with its “Let’s Respond Toolkit”; delivers formally accredited training courses for government officials; mainstreams adaptation into primary, secondary, and tertiary curricula; promotes informal learning and sectoral education materials; enhances gender-inclusive, social learning amongst all levels of society.

### ***c) The National Adaptation Plan of Cabo Verde***

Cabo Verde developed its NAP with financial support by the Government of Luxembourg. Its main instruments for implementing the NAP are ambitious capacity building and communication plans, which go hand in hand with a M&E system, with a view to mobilizing and learning about climate resilience by the various actors in the public, private and civil spheres, their ownership of the planning and budgeting processes and, ultimately, the implementation of concrete actions with a view to a greater climate resilience.

The three pillars that support the objectives of the NAP are: 1. Institutional framework, 2. Knowledge, technology, and financing, and 3. Resilience of the most vulnerable. Under these pillars, 10 strategic adaptation actions have been identified to be further developed (2021 – 2026) according to budget allocation. Communication and capacity development constitute two of these actions. The strategic action “Capacity building” is linked to pillar 2 and directed at improving the capacity for high quality data and information management and sharing, and access to technology and financing for adaptation.

### ***d) Climate-ADAPT***

Climate-ADAPT assists in capacity building in several ways. It provides a consistent, reliable knowledge base on adaptation that countries can use in the development of their national adaptation plans. This includes, among others, access to an Adaptation Support Tool which assists policy makers and coordinators on the national level in developing, implementing, monitoring, and evaluating climate change adaptation strategies and plans. Climate-ADAPT supports peer-to-peer learning through newsletters, webinars and working groups, for example on how to build similar knowledge platforms at a national scale which in turn can support the national adaptation planning process. Despite not being the primary target audience of Climate-ADAPT, developing countries can and are already using the platform’s knowledge for inspiration on their national adaptation plans.

### ***e) Adaptationcommunity.net***

Adaptationcommunity.net was created for adaptation experts to provide information on applying approaches, methods and tools that facilitate the planning and implementation of adaptation action. The platform offers a wealth of information, online sessions, trainings, and tools on nine topics along the comprehensive risk management approach. Comprehensive risk management combines both tried-and-tested and innovative instruments from the fields of climate change mitigation, climate change adaptation, disaster risk management and social protection into a single holistic approach. Topics on adaptationcommunity.net include climate services, among others, mainstreaming adaptation, private sector and adaptation and monitoring and evaluation.

### ***f) Capacity building project in support of NAP formulation and implementation supported by FIIAP and Euroclima+ (2019-21)***

The project was financed by the EU-funded the Euroclima+ Programme through FIIAPP (International and Ibero-American Foundation for Administration and Public Policies) and was implemented in cooperation with the Spanish State Meteorology Agency (AEMET). It developed specific regionalized climate scenarios for Central America (Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama) with sufficient resolution to provide useful information for the different socioeconomic sectors on future climate conditions so that they can assess the impact on the productive sectors, civil defence and infrastructure, and plan the corresponding adaptation measures. The project also supported the Working Group "Central American Climate Change Scenarios" in updating the regionalized scenarios of the Central American Viewer, in accordance with the indications of the IPCC AR6 report, generating a web viewer, delivering training courses for the ministries of the environment of the six countries concerned.

### ***g) Projects supported by the Spanish State Meteorology Agency (AEMET)***

The Conference of Ibero-American Directors of National Hydrological and Meteorological Services (CIMHET) is a platform for continued dialogue among countries on climate, meteorology, and hydrology to better understand the priorities, challenges and experiences of the Ibero-American region, promoting several regional workshops and studies. The most relevant 2021 activities related to climate change can be found at [www.cimhet.org](http://www.cimhet.org). The INTERCOONECTA Programme of the Spanish Agency for International Development Cooperation (AECID) also supports some of the activities of this network.

The Conference of Directors of the West African National Hydrological and Meteorological Services (AFRIMET) is a platform for continued dialogue among countries on climate, meteorology, and hydrology to better understand the priorities, challenges and experiences of the West African region. AFRIMET promotes regional capacity building workshops and regional studies in those areas identified as a priority by the countries. The meetings and activities are funded by Spain through AEMET and in coordination with the World Meteorological Organization (WMO).

The WMO Regional Training Centre Spain supports the capacity building of National Meteorological and Hydrological Services by developing their human, technical and institutional capacities, particularly in Latin American countries. The Centre is managed and funded through AEMET.

### **Useful sources**

[NAP Trends \(napglobalnetwork.org\)](https://napglobalnetwork.org)

[Submitted NAPs | NAP Central](#)

GCCA+ Impact and Sustainability report:

<https://gccca.eu/node/5796>

<https://gccca.eu/stories/eu-gcca-stories-changing-world-2022>

<https://www.gcca.eu/funding/actions-supported>

[Adaptation Gap Report 2022 | UNEP - UN Environment Programme](#)

[Progress in the process to formulate and implement national adaptation plans \(FCCC/SBI/2022/19\)](#)