

**Sixteenth meeting of the Adaptation Committee
Bonn, Germany, 9 to 12 September 2019**

**Gaps and needs related to the process to formulate and implement national
adaptation plans and how to address them**

Recommended action by the Adaptation Committee

The Adaptation Committee (AC), at its 16th meeting, may wish to review the entries in the table and update the entries that the AC (as well as the LEG) can work on, and to also propose where other bodies and organizations can help address the identified gaps and needs. The completed table is to be presented to SBI 51 through the LEG 36 report and the AC 2019 report and will also inform follow-up activities by the AC and the LEG.

TABLE OF CONTENTS

1.	Background	2
2.	Addressing the gaps and needs through ongoing work of the AC and the LEG	2
3.	Monitoring and reviewing how the gaps and needs related to the process to formulate and implement NAPs are being addressed	3
Annex 1	Gaps and needs related to the process to formulate and implement national adaptation plans and how they are being addressed through ongoing work of the LEG and the AC	4
Annex 2	Elements and steps of the process to formulate and implement NAPs	15

1. Background

1. COP 24 requested the Least Developed Countries Expert Group (LEG) within its existing mandate and workplan, and the Adaptation Committee (AC) through its task force on national adaptation plans (NAPs) and within its existing mandate and workplan, to consider gaps and needs related to the process to formulate and implement NAPs that have been identified through relevant work of the LEG and the AC and how to address them and include relevant information thereon in their respective reports for COP 25 (decision 8/CP.24, paragraphs 17 and 18).
2. LEG 35 initiated consideration of this and decided to take the following steps to address the mandate (document FCCC/SBI/2019/5, paragraphs 47 and 48):
 - a) Compile the gaps and needs of the LDCs related to the process to formulate and implement NAPs and the needs related to adaptation arising from the Paris Agreement, as presented in past reports of the LEG and the AC. That compilation is contained in annex II of the LEG 35 report;
 - b) Identify how the compiled gaps and needs are being addressed through the ongoing work of the LEG, the AC and relevant bodies and organizations;
 - c) Include relevant activities in the LEG work programme to address related gaps and needs;
 - d) Coordinate activities to address this mandate with the AC.

2. Addressing the gaps and needs through ongoing work of the AC and the LEG

3. An analysis of what activities are being addressed through the ongoing work of the LEG and the AC has been prepared for respective consideration and review by the LEG and the AC. See the table on the next pages.
4. The table contains references to the elements and steps of the guidelines for the process to formulate and implement NAPs. In addition, it contains references to respective articles of the Paris Agreement, as well as to relevant COP and CMA decisions, where the COP and the CMA mandated the AC, the LEG, other bodies, Parties, United Nations organizations, specialized, bilateral and multilateral agencies and/or other relevant organizations, to take or consider taking action to support the developing countries to undertake the process to formulate and implement NAPs in areas related to the identified gaps and needs.
5. The table is arranged according to the following areas based on the types of gaps and needs:
 - a) Climate scenarios, science, translation to local context;
 - b) Risk and vulnerability assessment and risk management;
 - c) Linkage with the development agenda;
 - d) Monitoring, evaluation and learning;
 - e) Accessing financial and other support;
 - f) Guiding principles;
 - g) Active learning from practice;
 - h) Institutional arrangements and coordination;
 - i) Access to and use of technology.
6. It should be noted that the indication of what ongoing and planned activities of the LEG and AC are related to addressing the gaps and needs does not necessarily imply that the gaps and needs in question are fully being addressed by such activities. As an example, the LEG training on NAPs primarily focuses on the LDCs and would not necessarily address the needs of all non-LDCs. Gaps and needs may remain.

3. Monitoring and reviewing how the gaps and needs related to the process to formulate and implement NAPs are being addressed

7. The COP has put in place a number of processes to assess and review gaps and needs related to adaptation. COP 24 requested the SBI 55 (November 2021) to specify the actions and steps necessary to assess progress in the process to formulate and implement NAPs, with a view to launching the assessment not later than 2025 and noting plans for the first global stocktake (decision 8/CP.24, para 19).
8. COP 24 also requested the Standing Committee on Finance (SCF) to prepare, every four years, a report on the determination of the needs of developing country Parties related to implementing the Convention and the Paris Agreement, for consideration by the COP, starting at its twenty-sixth session (November 2020), and the CMA, starting at its third session (November 2020) (decision 4/CP.24, paragraph 13).
9. In the context of the global stocktake, the CMA requested the secretariat to prepare for the technical assessment a synthesis report on the state of adaptation efforts, experience and priorities (decision 19/CMA.1, paragraph 23(b)). In addition, it requested the secretariat to include in this synthesis report an assessment of the support needs for adaptation of developing country Parties (decision 11/CMA.1, paragraph 31), including drawing on the needs report by the SCF.
10. Further the CMA invited relevant constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention, including the AC and the LEG, to prepare for the technical assessment, with the assistance of the secretariat, synthesis reports on the information identified in paragraph 36 of decision 19/CMA.1 in their areas of expertise.
11. In order to monitor and review how the gaps and needs related to the process to formulate and implement NAPs are being addressed so as to support developing countries, provide input to the global stocktake and ensure complementarity between the work of the AC and the LEG in line with their mandates:
12. The LEG may wish to focus on:
 - a) What developing countries require to formulate and implement NAPs;
 - b) Identifying gaps and needs related to the process to formulate and implement NAPs;
 - c) Identifying who is doing what to address these gaps and needs (bodies, Parties, UN orgs, etc.) based on existing mandates from the SBs, COP and CMA.
13. The AC may wish to focus on:
 - a) The actions Parties and organizations can take to advance the NAP process in developing countries; and,
 - b) Identifying the mandates that the SBs, the COP and the CMA have provided, to date, to enable the advancement of the NAP process.

Annex 1: Gaps and needs related to the process to formulate and implement national adaptation plans and how they are being addressed through ongoing and planned work of the LEG and the AC

<i>Area</i>	<i>Related elements of the process to formulate and implement NAPs^a, COP and CMA decisions^b, and articles of the Paris Agreement</i>	<i>Gaps and needs (taking into account national, subnational and sector-specific considerations, time frame and regional approaches)</i>	<i>LEG ongoing and planned work related to addressing the gaps and needs</i>	<i>AC ongoing and planned work related to related to addressing the gaps and needs</i>	<i>Ongoing and planned work of other bodies and organizations to potentially address the gaps and needs</i>
Climate scenarios, science, translation to local context	Element B.1 Decision 5/CP.17 Article 7, paragraphs 7 and 9	Capacity of national, sub-national and sector experts to work effectively with climate data and climate change scenarios in adaptation planning and decision-making	Sessions on climate data and climate change scenarios organized as part of NAP Expos and NAP workshops Mobilization of relevant organizations to support countries through Open NAPs and the NAP Technical Working Group	2020 Technical paper on connecting short-, medium- and long-term adaptation planning at the national and subnational level, including data, financial flows	Potentially NWP
		Availability and accessibility of climate data and climate change scenarios to underpin effective adaptation planning and implementation, taking into account the specific needs at the national, subnational and sectoral level	As above		Potentially NWP

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		Methods and tools to translate climate data and climate change scenarios to the local context	As above	2020 Inventory of relevant methodologies for assessing adaptation needs, including needs related to action, finance, capacity-building	Potentially NWP in addition to supporting the AC in developing the inventory and subsequent technical paper
		Ability to translate long-term vision and planning from the national to the subnational level in order to guide assessments	Further development of the NAP-SDG iFrame and work under Open NAPs	2020 Technical paper on connecting short-, medium- and long-term adaptation planning at the national and subnational level, including data, financial flows	Potentially NWP
		Capacity to integrate climate data and climate change scenarios generated at the regional level into development planning and other relevant decision-making processes	Open NAPs; Technical guidance on regional approaches		Potentially NWP
Risk and vulnerability assessment and risk management	Elements B.2, B.3 Decisions 5/CP.17; and 11/CMA.1, para 5	Capacity to develop, analyse, and define baselines	NAP training; Open NAPs; V&A training jointly with CGE		
		Specific methodologies and guidelines for understanding	Further development of the NAP-SDG	2020 Inventory of relevant methodologies for	

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	Article 7, paragraphs 7 and 9	the baseline and changes in vulnerability and risk	iFrame and work under joint V&A training with CGE	assessing adaptation needs, including needs related to action, finance, capacity-building	
		Capacity to undertake comprehensive risk and vulnerability assessments covering all key sectors and systems at the national, subnational and sectoral level	NAP training; Open NAPs; Further development of the NAP-SDG iFrame and work under joint V&A training with CGE	2022 Technical paper on methodologies for assessing adaptation needs and their application, as well as on the related gaps, good practices, lessons learned and guidelines	
		Capacity to systematically incorporate risk and vulnerability assessment and risk management as a part of the decision-making process at all levels of governance and in key sectors	Further development of the NAP-SDG iFrame and work under joint V&A training with CGE		
		Capacity to explain/outline strong climate change adaptation rationale as a component of proposals for international climate finance	GCF sessions at NAP Expos		GCF regional workshops
		Capacity to identify adaptation options following a	NAP training; Open NAPs; Further	2020 Technical paper on connecting short-, medium-	

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		vulnerability and risk assessment	development of the NAP-SDG iFrame	and long-term adaptation planning at the national and subnational level, including data, financial flows	
		Specific tools and guidelines for conducting vulnerability and risk assessments	Open NAPs		V&A guidelines, including NAP supplements ¹
		Ways to promote consistency, synergy and coherence between different risk and vulnerability assessment and risk management frameworks	Further development of the NAP-SDG iFrame		
		Best practices and lessons learned on how participatory approaches can support risk and vulnerability assessment and risk management			
Linkage with the development agenda	Elements A.4, B.5, C.1, C.4 and D.4 Decision 5/CP.17	Capacity to integrate climate change adaptation in the national context within the broader framework of the 2030	Integrative Framework for NAPs and SDGs (NAP-SDG iFrame)		

¹ <https://www4.unfccc.int/sites/NAPC/Guidelines/Pages/Supplements.aspx>

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	Article 7, paragraph 1	Agenda for Sustainable Development and the SDGs			
		Best practices and lessons learned for prioritizing adaptation in development, including by communicating the development value and benefits of implementing adaptation measures	Open NAPs		
Monitoring, evaluation and learning	Element D Decision 5/CP.17; 8/CP.24 para 19; Articles 7, 13 and 14	Capacity for systematic monitoring and observation of adaptation planning and implementation, and subsequent monitoring and evaluation of adaptation outcomes and impacts	Tracking progress made in the process to formulate and implement NAPs Monitoring and evaluation of progress, effectiveness and gaps (PEG M&E Tool)	2021 technical paper on useful information and methodologies for assessing progress in enhancing adaptive capacity, strengthening resilience and reducing vulnerability to climate change	
		Methodologies and guidelines for applying quantitative and qualitative metrics and indicators when analysing and assessing vulnerabilities, hazards and systems, including examples thereof	Work on methodologies for reviewing the adequacy and effectiveness of adaptation and support; Open NAPs		

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		Knowledge of theories of change to achieve the objectives of the process to formulate and implement NAPs, which could guide the development of monitoring and evaluation systems	Open NAPs NAP-SDG iFrame	2020 event for sharing existing knowledge on and tools for monitoring and evaluation 2021 technical paper featuring case studies on the development and application of M&E systems at the national and subnational level, including consideration of the value of M&E systems, existing barriers and opportunities to overcome them	
		Compilation of information to support monitoring, review and evaluation of progress, and the identification of effective measures and gaps in addressing adaptation through the process to formulate and implement NAPs	Annual report to SBI on progress made in the process to formulate and implement NAPs Next assessment of progress on NAPs under SBI in 2023		
		Capacity to link M&E of adaptation to broader national monitoring and evaluation systems related to development	Further work on PEG M&E Tool		
Accessing financial and other support	All elements Decisions 12/CP.18, paras	Access to financial support for the process to formulate and implement NAPs	LEG collaboration with the GCF Sec	Biannual Adaptation Finance Bulletin	

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	1-8; 18/CP.19, paras 4-5; 1/CP.21 para 46; 4/CP.21, paras 6-10; 6/CP.22, para 6-10; 11/CMA.1, paras 21-28 Article 4, paragraph 5, Article 7, paragraph 13	Capacity to write proposals to access funding at different levels	Sessions at NAP Expos; Open NAPs	2019 Information paper on Parties' capacity gaps in accessing adaptation funding and on their successes and challenges in building in-country capacity 2021 Update of the 2015 thematic report on navigating the landscape of support for the process to formulate and implement NAPs	
		Understanding the requirements for GCF funding proposals	LEG collaboration with the GCF secretariat to support countries in accessing the GCF for NAPs		
		Best practices and lessons learned for coordinating NAPs support to avoid overlaps at the national level and to advance national priorities.	Work of the NAP Technical Working Group		
Guiding principles	All elements Decisions 5/CP.17, paragraphs 2-5; Article 7, paragraph 5	Best practices and lessons learned for diverse stakeholder engagement in adaptation planning and implementation at the national and subnational level (including civil society, the private sector, financial	Collaboration with organizations and networks (e.g. on gender); NAP Expos; NAP workshops		

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		institutions, city governments and other subnational authorities, local communities and indigenous peoples			
		Capacity to assess the specific climate change risks and vulnerabilities of communities, groups and ecosystems	Supplement to the NAP technical guidelines on vulnerable communities, groups and ecosystems with NWP		
		Capacity to integrate gender considerations in adaptation planning and action	Supplement on gender in NAPs; Sessions at NAP Expos, Open NAPs	2020 event with the PCCB on identifying gaps and solutions related to incorporating gender considerations into adaptation planning and implementation	
		Capacity to identify and manage trade-offs between different adaptation actions and approaches, and between development and ecological protection	Open NAPs and work on the NAP-SDG iFrame	2019 Information document on linkages between mitigation and adaptation	

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Active learning from practice	Element D Decisions 12/CP.18, para 9; 3/CP.20, para 9; 6/CP.22, para 12; 11/CMA.1, para 13 Article 7, paragraph 9	Capacity to apply experience and lessons learned during adaptation planning and implementation to inform future adaptation efforts, including by identifying and promoting best practices	Synthesis reports every two years starting in 2020 on specific adaptation themes, focusing on relevant lessons learned and good practices in developing country Parties Best practices and lessons learned publication series		
		Facilitating true learning beyond the documentation of experiences and lessons learned	LEG twinning approach of countries under Open NAPs		
		A learning platform to promote the sharing of experiences and learning, especially at the regional level	NAP Central		
		Expanding South–South exchanges to capitalize on experiences with similar or common climate shocks	Open NAPs	Contribute to the NWP eUpdate, including by suggesting topics such as North–South and South–	

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				South cooperation, use of indigenous and local knowledge, capacity-building	
Institutional arrangements and coordination	Element A Decision 12/CP.18, para 7; 11/CMA.1, para 30 Article 7, paragraph 7	Capacity to establish and/or enhance institutional arrangements for the process to formulate and implement NAPs in order to foster national leadership and coordination of adaptation efforts at all levels and create a main interface with regional and international mechanisms	LEG NAP training and Open NAPs		
		Capacity to establish and/or enhance systems at the national level to facilitate the flow of resources and information across different levels	LEG NAP training and Open NAPs		
Access to and use of technology	Element C Decision 5/CP.17, para	Capacity to understand and apply the latest technologies in climate change adaptation planning and implementation	NAP Expo sessions on latest technologies in climate change adaptation		

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	20; 11/CMA.1, para 29	(e.g. big data, artificial intelligence, machine learning)			
	Article 10, paragraphs 1–6, and Article 11, paragraph 1	Promoting technological developments related to climate change adaptation in climate services, agriculture, water systems, health systems, disaster management, banking and other sectors	Collaboration with the TEC, CTCN and others to support the LDCs on technologies for adaptation		
		Access to information and experience of other countries in applying different adaptation technologies to facilitate the selection, installation and operation of appropriate technologies for local problems	NAP Expos NAP Central	2021 technical paper on the application of technologies for adaptation	

^a See annex II for a list of the elements of the process to formulate and implement NAPs.

^b This only covers the decisions where the COP and/or the CMA provided mandates to either of the following: the AC, the LEG, Parties, United Nations organizations, specialized, bilateral and multilateral agencies and other relevant organizations, to take or consider taking action to support the developing countries for the process to formulate and implement NAPs.

Annex 2: Elements and steps of the process to formulate and implement NAPs – extract from the technical guidelines for the formulation and implementation of NAPs, as also contained in decision 5/CP.17, annex.

TABLE 1. STEPS UNDER EACH OF THE ELEMENTS OF THE FORMULATION OF NATIONAL ADAPTATION PLANS, WHICH MAY BE UNDERTAKEN AS APPROPRIATE^a

ELEMENT A. LAY THE GROUNDWORK AND ADDRESS GAPS	
1.	Initiating and launching of the NAP process
2.	Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process
3.	Addressing capacity gaps and weaknesses in undertaking the NAP process
4.	Comprehensively and iteratively assessing development needs and climate vulnerabilities
ELEMENT B. PREPARATORY ELEMENTS	
1.	Analysing current climate and future climate change scenarios
2.	Assessing climate vulnerabilities and identifying adaptation options at the sector, subnational, national and other appropriate levels
3.	Reviewing and appraising adaptation options
4.	Compiling and communicating national adaptation plans
5.	Integrating climate change adaptation into national and subnational development and sectoral planning
ELEMENT C. IMPLEMENTATION STRATEGIES	
1.	Prioritizing climate change adaptation in national planning
2.	Developing a (long-term) national adaptation implementation strategy
3.	Enhancing capacity for planning and implementation of adaptation
4.	Promoting coordination and synergy at the regional level and with other multilateral environmental agreements
ELEMENT D. REPORTING, MONITORING AND REVIEW	
1.	Monitoring the NAP process
2.	Reviewing the NAP process to assess progress, effectiveness and gaps
3.	Iteratively updating the national adaptation plans
4.	Outreach on the NAP process and reporting on progress and effectiveness

^a Elements A to D for the formulation of national adaptation plans are given in the annex to decision 5/CP.17. The steps are numbered here for ease of reference, however, it is understood that countries will choose which steps are applicable for their country-specific situation, and in what order they would be undertaken.