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## Subsidiary Body for Implementation

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**National adaptation plans**

### **Progress in the process to formulate and implement national adaptation plans**

**Note by the secretariat**


#### *Summary*

This document provides updated information on the progress of Parties in the process to formulate and implement national adaptation plans, including on support provided and received, as communicated by Parties, United Nations organizations and other agencies, in accordance with decision 5/CP.17, paragraph 36, and the work programme of the Least Developed Countries Expert Group for 2017–2018. It updates the information provided at the forty-fifth session of the Subsidiary Body for Implementation in document FCCC/SBI/2016/INF.11.

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## **I. Introduction**

### **A. Background and mandate**

1. By decision 5/CP.17, paragraph 36, the Conference of the Parties (COP) requested the secretariat, in accordance with Article 8 of the Convention, to collect, compile and synthesize information needed by the Subsidiary Body for Implementation (SBI) to monitor and evaluate the progress made in the process to formulate and implement national adaptation plans (NAPs), drawing upon information referred to in paragraphs 32–35 of the same decision.

2. By decision 6/CP.22, paragraph 13, the COP invited Parties and relevant organizations to submit to the secretariat, by 4 October 2017, information on their progress made towards the achievement of the objectives of the process to formulate and implement NAPs, experiences, best practices, lessons learned, gaps and needs, and support provided and received in the process to formulate and implement NAPs. By decision 4/CP.21, in paragraph 12(b), the COP invited Parties to provide information, guided by a questionnaire, on an ongoing basis through NAP Central.

3. The Least Developed Countries Expert Group (LEG) included the preparation of annual progress reports on the process to formulate and implement NAPs in its two-year rolling work programme for 2017–2018<sup>1</sup> with a view to assisting the SBI in assessing progress on NAPs.

### **B. Scope of the note**

4. This document updates the information made available since the publication of the information paper on progress in the process to formulate and implement NAPs, prepared for SBI 45.<sup>2</sup> It captures information from national reports submitted by Parties under the Convention, surveys conducted by the secretariat on behalf of the LEG during SBI 46, information provided by countries at the round of regional workshops on NAPs and the regional NAP Expos conducted by the LEG in 2017,<sup>3</sup> submitted NAPs and outputs related to the process to formulate and implement NAPs on NAP Central,<sup>4</sup> information submitted by Parties using the online questionnaire on NAPs<sup>5</sup> and the submissions from Parties and relevant organizations referred to in paragraph 2 above. The document also includes information provided to the LEG by the Green Climate Fund (GCF) secretariat, the Global Environment Facility and its agencies, NAP support programmes and networks and other relevant stakeholders.

### **C. Possible action by the Subsidiary Body for Implementation**

5. The SBI may wish to consider the information contained in this document in the context of assessing progress made in the process to formulate and implement NAPs.

## **II. Overview of the process to formulate and implement national adaptation plans**

6. COP 16 established the process to formulate and implement NAPs to enable the least developed country (LDC) Parties to address medium- to long-term adaptation needs

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<sup>1</sup> FCCC/SBI/2017/6, annex I.

<sup>2</sup> FCCC/SBI/2016/INF.11.

<sup>3</sup> See <http://unfccc.int/6989.php#NAPs>.

<sup>4</sup> See <http://www4.unfccc.int/nap/Pages/national-adaptation-plans.aspx>.

<sup>5</sup> <http://www4.unfccc.int/nap/Pages/assessingprogress.aspx>.

and invited other developing country Parties to employ the modalities formulated to support the NAPs.<sup>6</sup> Between 2011 and 2016, the COP adopted several decisions on NAPs<sup>7</sup> containing mandates in relation to, inter alia, the overall framing, technical guidelines, financial and technical support, reporting and communication of NAP documents and relevant outputs through NAP Central, and the assessment of progress in 2018. Furthermore, by decision 1/CP.21, paragraph 46, the COP requested the GCF to expedite support for the LDCs and other developing country Parties for the formulation of NAPs, consistent with decisions 1/CP.16 and 5/CP.17, and for the subsequent implementation of policies, projects and programmes identified by them.

7. The objectives of the process to formulate and implement NAPs are as follows:<sup>8</sup>

(a) To reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience;

(b) To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

8. The initial guidelines for the formulation of NAPs<sup>9</sup> provide the following elements:

(a) Laying the groundwork and addressing gaps;

(b) Preparatory elements;

(c) Implementation strategies;

(d) Reporting, monitoring and review.

9. The subsequent technical guidelines for the process to formulate and implement NAPs,<sup>10</sup> prepared by the LEG as mandated by the COP,<sup>11</sup> are based on the elements listed in paragraph 8 above. The Adaptation Committee reviewed the guidelines and invited developing country Parties that are not LDCs to apply the guidelines depending on individual country circumstances.

10. Over the years, a number of supplementary materials, tools and methods, and outreach products have been developed by the LEG, the Adaptation Committee, relevant organizations and NAP support programmes, to support the formulation and implementation of NAPs, most of which followed the elements of the NAP technical guidelines.<sup>12</sup>

11. Furthermore, the LEG, with the support of the NAP technical working group, has developed an Integrative Framework for National Adaptation Plans and Sustainable Development Goals (NAP-SDG iFrame),<sup>13</sup> to help to integrate different approaches, and the explicit consideration of how to contribute to addressing the Sustainable Development Goals (SDGs) through NAPs. The framework takes an integrated approach towards country-driven and country-specific descriptions of systems that should be managed to achieve adaptation and to contribute towards achieving SDG targets.<sup>14</sup>

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<sup>6</sup> Decision 1/CP.16, paragraphs 15–18.

<sup>7</sup> Decisions 5/CP.17, 12/CP.18, 18/CP.19, 3/CP.20, 4/CP.21 and 6/CP.22.

<sup>8</sup> Decision 5/CP.17, paragraph 1.

<sup>9</sup> Decision 5/CP.17, annex.

<sup>10</sup> Available in several languages at <http://unfccc.int/7279>.

<sup>11</sup> Decision 5/CP.17, paragraph 15.

<sup>12</sup> See <http://www4.unfccc.int/nap/Guidelines/Pages/Supplements.aspx>.

<sup>13</sup> FCCC/SBI/2017/6, paragraph 35.

<sup>14</sup> FCCC/SBI/2017/14, paragraph 24.

### III. Progress of developing country Parties in the process to formulate and implement national adaptation plans

12. As with previous documents on the progress to formulate and implement NAPs,<sup>15</sup> information on progress presented in this chapter is organized following the sample process to formulate and implement NAPs. The sample process was developed by the LEG, with inputs from experts and country participants, to provide a logical flow of the activities in a typical process to formulate and implement NAPs and includes consideration of the SDGs.<sup>16</sup>

13. The table below provides a compilation of activities and measures undertaken by countries based on the steps/activities in the sample process to formulate and implement NAPs. Further details of the activities and measures are provided in paragraphs 14–33 below. The description of activities and measures under each element captures only the new activities in addition to those already captured in the previous reports.

#### Summary of measures undertaken by developing country Parties in the process to formulate and implement national adaptation plans as at 27 October 2017<sup>a</sup>

<i>Elements</i>	<i>Number of developing countries<sup>b</sup></i>	<i>Measures</i>	
Laying the groundwork and addressing gaps	82 (40)	Initiating and/or launching the process to formulate and implement national adaptation plans (NAPs)	
	34 (14) <sup>c</sup>	Submitting proposals to the Green Climate Fund readiness funding for NAPs	
	7 (4)	Formulating a mandate for the process	
	27 (15)	Defining institutional arrangements and a coordination mechanism	
	28 (17)	Consulting stakeholders	
	41 (27)	Synthesizing available information, stocktaking of relevant activities and assessing gaps and needs	
	23 (18)	Developing road maps for the process to formulate and implement NAPs	
	18 (16)	Completed road maps for the process to formulate and implement NAPs	
	Preparatory elements	26 (16)	Analysing past climate and climate change scenarios
		3 (1)	Comprehensively assessing climate vulnerability (science and knowledge)
33 (21)		Undertaking activities on integrating adaptation into national and subnational development planning	
12 (6)		Identifying adaptation options to address key vulnerabilities	
13 (6)		Appraising, prioritizing and ranking adaptation options	
11 (3)		Compiling draft NAPs for consultation and endorsement	
8 (2)		Communicating NAPs	
Implementation strategies		7 (4)	Prioritizing climate change adaptation in national planning
	8 (2)	Designing coherent implementation strategies, including synergy	
	- (-)	Implementing and managing actions in NAPs to reduce vulnerability and to facilitate the integration of adaptation into development planning through policies, projects, programmes and other activities	
Reporting, monitoring and review	14 (6)	Designing/applying a monitoring and evaluation framework or system	
	20 (10)	Communicating progress on NAPs	
	- (-)	Monitoring and periodically reviewing the process	
	- (-)	Iterative updating of NAPs	

<sup>a</sup> Update to table 1 in document FCCC/SBI/2016/INF.11. The full list of measures and of the Parties that have undertaken them is available at <http://unfccc.int/9295>. The total number of developing countries is 153.

<sup>b</sup> Figures in parentheses indicate the number of least developed countries.

<sup>c</sup> Other countries have received either partial or full support from bilateral and other sources for NAP formulation.

<sup>15</sup> FCCC/SBI/2014/INF.25, FCCC/SBI/2015/INF.11, FCCC/SBI/2016/INF.11.

<sup>16</sup> FCCC/SBI/2015/INF.14, paragraphs 20 and 21.

## A. Element A: laying the groundwork and addressing gaps

14. In total, 82 (out of 153) developing countries have undertaken at least one measure under element A on laying the groundwork and addressing gaps.

15. Many of the countries have initiated/launched the process to formulate and implement NAPs, and are at different stages of laying the groundwork and addressing gaps.

16. In initiating and launching the process, countries conducted an inception workshop that brought together the main stakeholders to introduce the process to formulate and implement NAPs, to serve as a platform for the different stakeholders to interact and share information on adaptation policy and actions at the national level, and to derive elements of a national strategy or road map.<sup>17</sup>

17. Most countries have existing legislative and regulatory frameworks for climate change adaptation, which will more often than not become the default mandate for the process to formulate and implement NAPs.<sup>18</sup> Some are working towards adjusting/developing a specific mandate specifying the lead coordinating agency for the process and the institutional arrangements, including the resources that the process requires.

18. Countries continue to undertake stocktaking, synthesis and analysis of available information and the assessment of gaps and needs following the NAP technical guidelines and other available tools as the basis.<sup>19</sup> The stocktaking exercise involved a review of various national reports submitted under the Convention and the Paris Agreement. The results of the stocktaking were also applied in engaging relevant stakeholders and in framing/refining respective NAP strategies and road maps.

19. Countries that have developed and completed the road map for the process to formulate and implement NAPs find it useful in guiding subsequent activities in the process.<sup>20</sup>

20. A few countries shared that they are carrying out activities as part of the process to formulate and implement the NAP at multiple levels simultaneously, such as at sub-national and local levels in addition to the national level.<sup>21</sup> Others shared that they are starting to embark on sub-national, sectoral or local plans after they have formulated the NAP at the national level.<sup>22</sup>

21. As at the date of publication of this note, a total of 34 countries have submitted proposals to access funding under the GCF Readiness and Preparatory Support Programme modality for supporting the formulation of NAPs.<sup>23</sup> Of these, 5 have been approved or received endorsement for approval for funding, and 2 have already received funding for the execution of planned activities at the national level.<sup>24</sup> All proposals were developed with the help of multilateral implementing entities.

## B. Element B: preparatory elements

22. In total, 29 developing countries have undertaken at least one measure on preparatory elements. The majority of the action was on activities relating to the integration

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<sup>17</sup> For example, Ecuador and Jordan.

<sup>18</sup> Argentina, Armenia, Bangladesh, Ecuador, Honduras, Jordan and Malawi.

<sup>19</sup> Argentina, Jordan, Lebanon and the Philippines.

<sup>20</sup> For example, Argentina, Iraq, Jordan and Pakistan.

<sup>21</sup> Argentina, Indonesia and Philippines.

<sup>22</sup> For example, Burkina Faso and Sri Lanka.

<sup>23</sup> Antigua and Barbuda, Argentina, Armenia, Bangladesh, Benin, Bosnia and Herzegovina, Colombia, Costa Rica, Côte d'Ivoire, Democratic Republic of the Congo, Dominican Republic, Ecuador, Egypt, Honduras, Kenya, Liberia, Madagascar, Malawi, Mali, Mauritania, Mongolia, Montenegro, Myanmar, Nepal, Niger, Pakistan, Serbia, South Sudan, Sudan, Swaziland, United Republic of Tanzania, Uruguay, Uzbekistan and Zimbabwe.

<sup>24</sup> Antigua and Barbuda, Liberia, Nepal, Pakistan and Uruguay. Liberia and Nepal have already received funding.

of adaptation into national and subnational development planning, with the least on identifying adaptation options and the subsequent appraisal, prioritization and ranking.

23. Some countries indicated that they are using risk and vulnerability assessments from previous studies such as those conducted during the preparation of national communications, the national adaptation programmes of action, or those conducted under specific sectoral policies.<sup>25</sup> Most of the assessments, however, need to be updated to incorporate the latest available science, including in the context of the goal to hold the average global temperature rise to less than 2 °C above pre-industrial levels, while in other cases the assessments need to be expanded to cover all the sectoral issues and geographic regions of the countries.

24. In addition to the countries included in previous reports, a few more countries have undertaken activities that support the integration of adaptation into development planning and regulatory processes at various levels of government. Activities undertaken thus far are: 'climate proofed' activities and plans of the government; expenditure review to determine the amount spent by the national government on climate change adaptation.<sup>26</sup> Some countries applied a systems approach in their assessments, to bring together different assessment approaches, often previously conducted on a sectoral basis, and to create explicit considerations on how to link adaptation to development.<sup>27</sup> The approach has also helped the countries to look at issues at a broader level, including assessing synergies and trade-offs.

25. Some countries<sup>28</sup> are receiving support for sector-specific adaptation activities which may contribute to the broader efforts to formulate and implement a multisectoral NAP. These activities often stand alone or are part of a support programme on NAPs for a specific sector. Some of the countries involved have yet to initiate a full process to formulate and implement the NAP and are envisioning that results of these initiatives would contribute to efforts on the full NAP.

26. Assessments of vulnerability are linked with development issues and with the consideration of the targets and goals under SDGs, the Sendai Framework for Disaster Risk Reduction 2015–2030, the Paris Agreement and other frameworks.

### C. Element C: implementation strategies

27. At least eight countries<sup>29</sup> have undertaken the main steps involved in the implementation strategies, and have compiled and submitted their NAP documents to the secretariat. At least five additional countries indicated that they have completed the compilation of their NAPs and are undergoing national multi-stakeholder review and/or official endorsement. Most of the other countries are still at the laying the groundwork and preparatory stages of the process to formulate and implement NAPs, and have yet to complete activities that would enable them to compile specific elements of the process into a plan.

28. One<sup>30</sup> out of the eight countries that submitted a NAP document to the secretariat have likewise applied for funding under the GCF readiness support window for NAPs.

29. Most of the submitted NAPs contained information on the need to implement the policies, projects and programmes identified in the NAP. It likewise includes references to adaptation actions already undertaken, including how the new adaptation actions will build on it.

<sup>25</sup> For example Argentina, Indonesia, Jordan and Malawi.

<sup>26</sup> Antigua and Barbuda, Argentina, Belize, Ecuador, Honduras and Venezuela (Bolivarian Republic of).

<sup>27</sup> Bhutan, Kenya, Philippines, South Africa and Sri Lanka.

<sup>28</sup> Countries supported by the Integrating Agriculture in National Adaptation Plans programme. See <http://www.fao.org/in-action/naps/partner-countries/en/>.

<sup>29</sup> Brazil, Burkina Faso, Cameroon, Chile, Kenya, Sri Lanka, State of Palestine and Sudan.

<sup>30</sup> Kenya.

## **D. Element D: reporting, monitoring and review**

30. Information on the reporting, monitoring and review of the process to formulate and implement NAPs is limited given that most developing countries that have initiated/launched the process are still at the laying the groundwork and preparatory elements stage of the process and have yet to define the scope of the monitoring and review.

31. Most of the developing countries that have submitted a NAP included a strategy for the monitoring and evaluation of both the process and the adaptation actions. The extent of the information provided varies and can include indicators for each strategic objective, the timeline for assessment, the timeline for review and the responsible agency to conduct the assessment.<sup>31</sup>

32. Two countries shared that they had existing monitoring and evaluation systems for adaptation that included key performance indicators as part of their previously developed national adaptation strategies and that they would apply these in the formulation of their respective NAPs.<sup>32</sup>

33. Many countries are successfully building on existing and past efforts at adaptation planning and implementation when applying the NAP technical guidelines to develop enhanced strategies and updated plans.<sup>33</sup>

## **IV. Support provided and received relevant to the process to formulate and implement national adaptation plans**

34. Information on support provided thus far to developing country Parties for the process to formulate and implement NAPs is included in the information paper on NAPs prepared for SBI 41,<sup>34</sup> 43<sup>35</sup> and 45<sup>36</sup> as well as in the recent reports of the meetings of the LEG.<sup>37</sup>

35. Paragraphs 36–56 below provide additional information on the support provided and received by Parties since September 2016.

### **A. Financial support**

36. So far, 34 countries<sup>38</sup> have submitted readiness proposals seeking support under the GCF Readiness and Preparatory Support Programme modality (see paragraph 21 above for more details).<sup>39</sup>

37. Some countries expressed difficulties in accessing the current funding for NAPs from the GCF. They process to secure funding due to rigid requirements that can only be produced once the process has been put in place.

38. The Global Environment Facility, through the Least Developed Countries Fund, approved a total of USD 26.3 million to support the process to formulate and implement NAPs in four countries.<sup>40</sup> As at 30 June 2017, four additional proposals seeking to support elements of countries' NAPs were in the technically cleared pipeline under the Least Developed Countries Fund.<sup>41</sup>

39. Most countries that have embarked on their process to formulate and implement NAPs continue to receive support from bilateral and multilateral agencies. Some countries used domestic resources to undertake activities for the process to formulate and implement

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<sup>31</sup> Brazil, Burkina Faso, Cameroon, Chile, Kenya, Sri Lanka, State of Palestine and Sudan.

<sup>32</sup> Argentina and Philippines.

<sup>33</sup> China, Republic of Korea and Philippines.

<sup>34</sup> FCCC/SBI/2014/INF.25.

<sup>35</sup> FCCC/SBI/2015/INF.11.

<sup>36</sup> FCCC/SBI/2016/INF.11.

<sup>37</sup> FCCC/SBI/2014/13 and FCCC/SBI/2015/7.

<sup>38</sup> As footnote 23 above.

<sup>39</sup> Liberia and Nepal.

<sup>40</sup> Chad, Niger, Rwanda and Senegal.

<sup>41</sup> FCCC/CP/2017/7, paragraph 104.



NAPs. Some countries also indicated that they used resources from existing projects, especially if they are targeting the same audience.

## B. Technical support

40. Activities included in this section are those communicated by relevant agencies providing support to countries on adaptation. The information covers a broad range of activities and may or may not lead to undertaking the formulation and implementation of NAPs, as some are stand-alone activities, except for those mandated under the Convention.

41. The LEG conducted the following activities aimed at providing technical guidance and support to countries for the process to formulate and implement NAPs:

(a) Five regional training workshops on NAPs focusing on the preparatory elements of the process;<sup>42</sup>

(b) The development of the NAP-SDG iFrame referred to in paragraph 11 above, and its application in the regional training workshops referred to in paragraph 41(a) above;

(c) Further development and application of the country case studies on NAPs (Open NAPs) to provide a quick overview of how a typical NAP can be implemented at the national level;

(d) Two regional NAP Expos<sup>43</sup> as a way to promote greater interaction among countries and to provide an opportunity to enhance collaboration with various partners at the regional levels;

(e) Further development of NAP Central,<sup>44</sup> including the NAP tracking tool and the event pages for the regional training workshops on NAPs and the regional NAP Expos;

(f) Continued engagement with the GCF secretariat on ways to enhance the process to access support for the formulation and implementation of NAPs.

42. The Adaptation Committee's task force on NAPs undertook the following activities related to support for NAPs: preparation of background materials for technical meetings on NAPs, development of an information paper on countries' experience in accessing GCF readiness funding for NAPs, collaboration with the Technology Executive Committee to advance the work on aligning technology needs assessments and NAPs, and working on the information paper on long-term adaptation planning.<sup>45</sup>

43. Several activities related to the process to formulate and implement NAPs have been conducted by other constituted bodies under the Convention. Such activities include developing a compilation of risk management approaches as linked with loss and damage, developing a technical paper on vulnerable groups and ecosystems and conducting stakeholder dialogues on knowledge assessment for adaptation. A detailed list of activities is provided in annex I.

44. Several UN agencies provided support to countries in accessing the GCF for the formulation of NAPs. The United Nations Development Programme (UNDP) provided the following support within the current reporting period:

(a) As at October 2017, UNDP had supported 15 developing countries<sup>46</sup> in applying for GCF readiness funding for the formulation of NAPs. One country<sup>47</sup> has successfully received the first tranche of its disbursement. Additionally, UNDP is working

<sup>42</sup> Anglophone Africa, Asia, francophone Africa, Latin America and the Caribbean, and the Pacific islands.

<sup>43</sup> See <http://napexpo.org/kampala> and <http://napexpo.org/asia>.

<sup>44</sup> Available at <http://unfccc.int/nap>.

<sup>45</sup> FCCC/SB/2017/2, paragraphs 49 to 52.

<sup>46</sup> Armenia, Bangladesh, Benin, Bhutan, Bosnia and Herzegovina, Democratic Republic of the Congo, Ecuador, Egypt, Madagascar, Montenegro, Niger, Serbia, United Republic of Tanzania, Uruguay and Uzbekistan.

<sup>47</sup> Liberia.

with another 20 countries<sup>48</sup> to develop NAP proposals and expects these to be submitted to the GCF during the fourth quarter of 2017 and the first quarter of 2018.

(b) As at October 2017, UNDP had assisted four<sup>49</sup> least developed countries to access the Least Developed Countries Fund on projects that would contribute to the formulation of NAPs, while three<sup>50</sup> others remain technically cleared and are awaiting funding.

45. United Nations Environment Programme (UNEP) supported nine countries<sup>51</sup> in applying for GCF readiness funding for the formulation of NAPs.

46. The Food and Agriculture Organization of the United Nations (FAO) supported two countries<sup>52</sup> in applying for the GCF readiness funding for NAPs.

47. The United Nations Institute for Training and Research supported developing countries that attended the training workshops mentioned in paragraph 50 below in undertaking skills assessment for NAPs through the training modules delivered during the National Adaptation Plan Global Support Programme (NAP-GSP) workshops conducted by the UNDP and UNEP in 2017.

48. The World Meteorological Organization provided support to developing countries on the process of formulating and implementing NAPs through the Global Framework for Climate Services. The World Meteorological Organization developed a policy brief on the role of national meteorological and hydrological services in NAPs<sup>53</sup> to help key actors and stakeholders understand its role in undertaking the process and formulating the plan. This is also part of the campaign of the World Meteorological Organization to promote to Parties the use of climate information services to guide and inform adaptation planning at the national level in conjunction with supporting some countries<sup>54</sup> in developing national frameworks for climate services that aim to bridge the gap between the meteorological and forecasting community and adaptation practitioners, including UNFCCC national focal points and technical teams working on NAPs.

49. A follow-up on health NAPs was reported to be undertaken in the last quarter of 2017 by the World Health Organization through the Pan American Health Organization. The organizations organized one training workshop for health representatives and NAP team coordinators in the Caribbean countries for the development of the chapter on health in the NAP.<sup>55</sup>

50. The NAP-GSP, funded under the Least Developed Countries Fund and jointly implemented by UNDP and UNEP, supported 16 LDCs<sup>56</sup> in various stand-alone activities relevant to the elements of the process to formulate and implement NAPs. Many of these LDCs are in various stages of undertaking the process, while some have yet to initiate/launch the process to formulate and implement NAPs. Support activities conducted under this reporting period include stocktaking and scoping work for launching the process, validating NAP roadmaps and building capacities to leverage finance for NAPs. In parallel, the NAP-GSP support for non-LDCs, funded under the Special Climate Change Fund, has

<sup>48</sup> Albania, Azerbaijan, Burundi, Congo, Guinea, Guinea Bissau, Indonesia, Kyrgyzstan, Lebanon, Macedonia, Moldova, Morocco, Mozambique, Namibia, Papua New Guinea, Senegal, Tajikistan, Thailand, Turkmenistan and Viet Nam.

<sup>49</sup> Bangladesh, Chad, Niger and Senegal.

<sup>50</sup> Lao People's Democratic Republic, Malawi and Timor-Leste.

<sup>51</sup> Malawi, Mauritania, Mongolia, Myanmar, Nepal, Nigeria, Pakistan, Swaziland and Zimbabwe.

<sup>52</sup> Kenya and Sudan.

<sup>53</sup> To be distributed at COP 23.

<sup>54</sup> Burkina Faso, Chad, Madagascar, Mali, Niger, South Africa, Senegal and Vanuatu.

<sup>55</sup> See the World Health Organization presentation at the workshop for Latin America and the Caribbean at <http://napexpo.org/workshops/lac>.

<sup>56</sup> Bangladesh, Benin, Bhutan, Burundi, Chad, Democratic Republic of the Congo, Djibouti, Guinea, Guinea Bissau, Haiti, Liberia, Madagascar, Mozambique, Niger, Senegal, Somalia and United Republic of Tanzania.

supported 22 non-LDCs<sup>57</sup> in this reporting period, focusing support activities on stocktaking work, leveraging finance for NAPs and documenting best practices for previously implemented adaptation measures, which is also part of stocktaking. In addition to tailored activities conducted in these countries, the NAP-GSP has also conducted five regional training workshops<sup>58</sup> for non-LDCs on key topics<sup>59</sup> identified during the inception workshop in November 2016.

51. The National Adaptation Plan Global Network continues to undertake activities that provide space for peer-to-peer learning, including the production of materials, in blog format, for practitioners working on NAPs or for those planning to formulate and implement NAPs. The network conducted one targeted topic forum for the reporting period focusing on financing the process to formulate and implement NAPs.<sup>60</sup>

52. The Japan-Caribbean Climate Change Partnership supported eight Caribbean countries<sup>61</sup> in undertaking activities leading to the formulation of NAPs. For the current reporting period, partner countries were supported in conducting stocktaking exercises for developing NAPs.

53. Under the Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean project, UNEP established a community of practice for NAP practitioners in Latin America and the Caribbean to support each other by sharing good practices and challenges in formulating NAPs and to facilitate contributions from researchers and specialists of international cooperation and civil society.<sup>62</sup> The community of practice also hosts resource materials and modules that could help countries in understanding key activities of the process.

54. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) supported 30 countries, through its different channels of support, on the process to formulate and implement NAPs. Some countries<sup>63</sup> received in-country support, where partner countries are supported based on NAP support projects or by designated GIZ staff in the field. Fifteen of the countries<sup>64</sup> are supported through selected activities relevant to the process to formulate and implement NAPs such as through conducting workshops to initiate/launch the process. GIZ further supported countries through multi-stakeholder initiatives under the NAP Global Network.

55. Several training workshops and outreach on NAPs were conducted by the LEG and the various support programmes and networks during the reporting period. The information on these events is shown on the Global NAP Calendar page maintained at NAP Central.<sup>65</sup>

56. Many countries indicated that the NAP support received by them is often targeted at specific activities of the process and does not ensure sufficient and predictable technical support and funding for the whole process. Support is usually received for conducting stakeholder assessments, sensitization of actors and relevant agencies, development of a road map and other relevant activities related to laying the groundwork.

<sup>57</sup> Albania, Armenia, Azerbaijan, Bosnia Herzegovina, Congo, Côte d'Ivoire, Ecuador, Egypt, Kazakhstan, Kyrgyzstan, Indonesia, Lebanon, Montenegro, Morocco, Papua New Guinea, Serbia, Tonga, Thailand, Tunisia, Uruguay, Uzbekistan and Viet Nam.

<sup>58</sup> In Central America, Middle East and North Africa, Caribbean, Asia and Africa.

<sup>59</sup> Regional training workshops were focused on economics of adaptation, mainstreaming adaptation into water resources, horizontal and vertical integration of adaptation planning and knowledge management.

<sup>60</sup> See <http://napglobalnetwork.org/2017/06/targeted-topics-forum-financing-nap-processes/>.

<sup>61</sup> Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, Saint Vincent and the Grenadines, and Suriname.

<sup>62</sup> Available at <http://napscommunity.com/en/>.

<sup>63</sup> Albania, Benin, Brazil, Burkina Faso, Cambodia, Grenada, Madagascar, Mali (jointly with the United Nations Development Programme), Mauritania, Morocco, Senegal, Thailand, Togo, United Republic of Tanzania and Viet Nam.

<sup>64</sup> Angola, Djibouti, Cambodia, Côte d'Ivoire, Gambia, Indonesia, Madagascar, Mauritania, Mexico, Peru, Philippines, Rwanda, South Africa, Tunisia, United Republic of Tanzania and Viet Nam.

<sup>65</sup> Available at <http://www4.unfccc.int/nap/Pages/GlobalNAPCalendar.aspx>.

## Annex I

**Activities related to the process to formulate and implement national adaptation plans undertaken by relevant bodies and programmes under the Convention between August 2016 and October 2017**

<i>Activity</i>	<i>Mandate</i>	<i>Period</i>	<i>Target group(s)</i>	<i>Relevant elements of the national adaptation plan process</i>	<i>Reference(s)</i>
<i>Adaptation Committee</i>					
Continuation of the AC NAP task force to further support developing countries in the process to formulate and implement NAPS	Decision 16/CP.19, paragraph 1(d) Decision 2/CP.17, paragraphs 94, 99 and 114; decision 5/CP.17, paragraph 30	2016–2018	Developing countries	Whole process	<a href="http://unfccc.int/adaptation/groups_committees/adaptation_committee/items/9917.php">http://unfccc.int/adaptation/groups_committees/adaptation_committee/items/9917.php</a>
Technical examination process on adaptation	Decision 1/CP.21, paragraph 124	2017	All Parties and non-Party stakeholders	Whole process	<a href="http://unfccc.int/9542">http://unfccc.int/9542</a>
Regular cross-participation of AC and LEG members in each other's regular meetings and regional training activities		Ongoing	All Parties	Whole process	
Development of an information paper on countries' experience in accessing the GCF Readiness and Preparatory Support Programme for NAPs			All Parties	Laying the groundwork	
Collaboration with the TEC to advance the work on aligning technology needs assessments and NAPs			All Parties	Laying the groundwork and implementation strategies	
<i>Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts</i>					
Development of a compendium on comprehensive risk management approaches	Decision 2/CP.19, paragraph 5	Ongoing	All Parties	Preparatory elements	<a href="http://unfccc.int/9975">http://unfccc.int/9975</a>
Update of an online database of organizations working on slow onset events and the scope of	Decision 2/CP.19, paragraph 5	Ongoing	All Parties	Preparatory elements	<a href="http://unfccc.int/9430">http://unfccc.int/9430</a>

<i>Activity</i>	<i>Mandate</i>	<i>Period</i>	<i>Target group(s)</i>	<i>Relevant elements of the national adaptation plan process</i>	<i>Reference(s)</i>
their current efforts					
Establishment of a clearing house for risk transfer serving as a repository for information on insurance and risk transfer in order to facilitate the efforts of Parties to develop and implement comprehensive risk management strategies	Decision 1/CP.21, paragraph 48	Ongoing	All Parties	Laying the groundwork	<a href="http://unfccc.int/9997">http://unfccc.int/9997</a>
<i>Least Developed Countries Expert Group</i>					
Outreach on the NAP process through the regional NAP Expo for Africa	Decision 5/CP.17, paragraph 13	June 2017	LDCs and non-LDCs	Whole process	<a href="http://www.napexpo.org/kampala">http://www.napexpo.org/kampala</a>
Outreach on the NAP process through the regional NAP Expo for Asia	Decision 5/CP.17, paragraph 13	September 2017	LDCs and non-LDCs	Whole process	<a href="http://www.napexpo.org/asia">http://www.napexpo.org/asia</a>
Enhancement and continuing development of NAP Central: orientation on the country portals; content management, etc.	Decision 5/CP.17, paragraph 13	Ongoing	LDCs and non-LDCs	Whole process	<a href="http://unfccc.int/nap">http://unfccc.int/nap</a>
Regional training workshop on NAPs for anglophone Africa	Decision 5/CP.17, paragraph 13	27 Feb to 3 March 2017	LDCs and non-LDCs	Whole process	<a href="http://napexpo.org/workshops/malawi">http://napexpo.org/workshops/malawi</a>
Regional training workshop on NAPs for Asia	Decision 5/CP.17, paragraph 13	13 to 16 June 2017	LDCs and non-LDCs	Whole process	<a href="http://napexpo.org/workshops/asia">http://napexpo.org/workshops/asia</a>
Regional training workshop on NAPs for the Pacific region	Decision 5/CP.17, paragraph 13	10 to 13 July 2017	LDCs and non-LDCs	Whole process	<a href="http://napexpo.org/workshops/pacific">http://napexpo.org/workshops/pacific</a>
Regional training workshop on NAPs for Latin America and the Caribbean	Decision 5/CP.17, paragraph 13	4 to 7 September 2017	LDCs and non-LDCs	Whole process	<a href="http://napexpo.org/workshops/lac">http://napexpo.org/workshops/lac</a>
Regional training workshop on NAPs for francophone Africa	Decision 5/CP.17, paragraph 13	25 to 27 September 2017	LDCs and non-LDCs	Whole process	<a href="http://napexpo.org/workshops/franco">http://napexpo.org/workshops/franco</a>
Continuing engagement with the GCF during LEG meetings, training workshops and NAP Expos	Decision 19/CP.21, paragraph 2(c)	LEG 31 and 32 and 2017 workshops	All Parties	Whole process	FCCC/SBI/2017/14

<i>Activity</i>	<i>Mandate</i>	<i>Period</i>	<i>Target group(s)</i>	<i>Relevant elements of the national adaptation plan process</i>	<i>Reference(s)</i>
Development of technical guidance on achieving coherence between SDGs and NAPs	Decision 5/CP.17, paragraph 13	Ongoing	All Parties	Whole process	<a href="http://unfccc.int/9785">http://unfccc.int/9785</a>
Regular side event at COP 22 and SBI 46	Decision 5/CP.17, paragraph 13	Ongoing	All Parties	Whole process	FCCC/SBI/2017/14
High-level side event at COP 22 on sustainable benefits of adaptation	Decision 5/CP.17, paragraph 13	November 2016	All Parties	Whole process	
Collaboration with other constituted bodies (TEC, Standing Committee on Finance and AC) and the NWP partner organizations	Decision 5/CP.17, paragraph 12	Ongoing	All Parties	Whole process	FCCC/SBI/2017/14
Collaboration with the TEC to advance the work on aligning technology needs assessments and NAPs	Decision 5/CP.17, paragraph 12	Ongoing	All Parties	Laying the groundwork and implementation strategies	
<i>Nairobi work programme on impacts, vulnerability and adaptation to climate change</i>					
10th focal point forum on health and adaptation	FCCC/SBSTA/2016/2, paragraph 15	30 November 2015	All Parties	Laying the groundwork and preparatory elements	<a href="http://unfccc.int/adaptation/workstreams/nairobi_work_programme/items/9357.php">http://unfccc.int/adaptation/workstreams/nairobi_work_programme/items/9357.php</a>
A synthesis paper on human health and adaptation: understanding climate impacts on health and opportunities for action	FCCC/SBSTA/2016/2, paragraph 15	May 2017	All Parties	Laying the groundwork and preparatory elements	<a href="http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009444#beg">http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009444#beg</a>
A synthesis report on adaptation planning, implementation and evaluation addressing ecosystems and areas such as water resources	FCCC/SBSTA/2016/2, paragraph 15	May 2017	All Parties	Laying the groundwork and preparatory elements	<a href="http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009445#beg">http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009445#beg</a>
Summary report on initiatives in the area of human settlements and adaptation	FCCC/SBSTA/2016/2, paragraph 15	May 2017	All Parties	Laying the groundwork and preparatory elements	<a href="http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009447">http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600009447</a>

<i>Activity</i>	<i>Mandate</i>	<i>Period</i>	<i>Target group(s)</i>	<i>Relevant elements of the national adaptation plan process</i>	<i>Reference(s)</i>
Priority-setting workshop of the Lima Adaptation Knowledge Initiative in Hindu Kush Himalayan subregion and Indian Ocean island countries	FCCC/SBSTA/2014/5, paragraph 19; Decision 17/CP.19, paragraph 8; FCCC/SBSTA/2016/2, paragraph 19	October 2016	Developing countries, LDCs, small island developing States, African States	Laying the groundwork and preparatory elements	<a href="http://www4.unfccc.int/sites/NWP/Pages/LAKI-Asia.aspx">http://www4.unfccc.int/sites/NWP/Pages/LAKI-Asia.aspx</a>
Priority-setting workshop of the Lima Adaptation Knowledge Initiative in Africa	FCCC/SBSTA/2014/5, paragraph 19; Decision 17/CP.19, paragraph 8; FCCC/SBSTA/2016/2, paragraph 19; FCCC/SBSTA/2016/4, paragraph 17	September 2017	Developing countries, African States	Laying the groundwork and preparatory elements	<a href="http://www4.unfccc.int/sites/NWP/Pages/LAKI-Africa.aspx">http://www4.unfccc.int/sites/NWP/Pages/LAKI-Africa.aspx</a>
Side event on closing knowledge gaps to scale up adaptation: the Lima Adaptation Knowledge Initiative	FCCC/SBSTA/2014/5, paragraph 19; Decision 17/CP.19, paragraph 8; FCCC/SBSTA/2016/2, paragraph 19; FCCC/SBSTA/2016/4, paragraph 17	May 2017	All Parties	Laying the groundwork and preparatory elements	<a href="http://www4.unfccc.int/sites/NWP/News/Pages/Outcomes-of-LAKI-side-event.aspx">http://www4.unfccc.int/sites/NWP/News/Pages/Outcomes-of-LAKI-side-event.aspx</a>
NWP adaptation knowledge portal	Decision 17/CP.19, paragraph 3(a); FCCC/SBSTA/2014/2, paragraph 18(c); FCCC/SBSTA/2014/5, paragraph 16(b)	Ongoing	All Parties	Whole process	<a href="http://www4.unfccc.int/sites/NWP/pages/Home.aspx">http://www4.unfccc.int/sites/NWP/pages/Home.aspx</a>
In collaboration with the LEG and members of Friends of EbA, organizing a side event on ecosystems and ecosystem-based adaptation: advancing action through knowledge	FCCC/SBSTA/2016/2, paragraphs 19 and 20	May 2017	All Parties	Laying the groundwork and preparatory elements	<a href="http://www4.unfccc.int/sites/NWP/News/Pages/Outcomes-of-Ecosystems-Side-Event.aspx">http://www4.unfccc.int/sites/NWP/News/Pages/Outcomes-of-Ecosystems-Side-Event.aspx</a>
An NWP co-event with the International Council for Local Environmental Initiatives titled “Catalysing climate-resilient action in cities through knowledge”	FCCC/SBSTA/2016/2, paragraphs 19 and 20	May 2017	All Parties	Whole process	<a href="http://www4.unfccc.int/sites/NWP/News/Pages/ICLEI-resilient-cities-2017.aspx">http://www4.unfccc.int/sites/NWP/News/Pages/ICLEI-resilient-cities-2017.aspx</a>

<i>Activity</i>	<i>Mandate</i>	<i>Period</i>	<i>Target group(s)</i>	<i>Relevant elements of the national adaptation plan process</i>	<i>Reference(s)</i>
An overview of the landscape of existing platforms providing technical support on adaptation to developing country Parties, including gaps in collaboration with the CTCN, prepared and reported on progress made to the AC at its 12th meeting	FCCC/SBSTA/2016/4, paragraph 16	September 2017	Developing countries	Whole process	<a href="http://unfccc.int/adaptation/groups_committees/adaptation_committee/items/10375">http://unfccc.int/adaptation/groups_committees/adaptation_committee/items/10375</a>
<i>Technology Executive Committee</i>					
Paper on aligning technology needs assessments with the process to formulate and implement NAPs, prepared in collaboration with the CTCN, the AC and the LEG	Decision 3/CP.21, paragraph 5	Ongoing	All Parties	Whole process	The latest draft of the paper was discussed at the 15 <sup>th</sup> meeting of the TEC; see <a href="http://unfccc.int/tclear/tec/meetings.html">http://unfccc.int/tclear/tec/meetings.html</a>
Review of the potential application of South–South cooperation on adaptation and mitigation technologies aimed at assisting countries in implementing their NAPs and NDCs	TEC rolling workplan 2016–2018	2017–2018	All Parties	Laying the groundwork	

*Abbreviations:* AC = Adaptation Committee; CTCN = Climate Technology Centre and Network, GCF = Green Climate Fund, LDCs = least developed countries, LEG = Least Developed Countries Expert Group, NAPs = national adaptation plans, non-LDCs = developing country Parties that are not LDCs, NWP = Nairobi work programme on impacts, vulnerability and adaptation to climate change, TEC = Technology Executive Committee.



## Annex II

### Countries accessing support from the Green Climate Fund and the Least Developed Countries Fund for the process to formulate and implement national adaptation plans as at 27 October 2017

<i>Country</i>	<i>Agency</i>	<i>Fund</i>	<i>Date of submission for funding</i>	<i>Status</i>
Antigua and Barbuda		GCF		Proposal submitted to the GCF
Argentina		GCF		Proposal received by the GCF
Armenia	UNDP	GCF	February 2017	Received 3 rounds of comments from GCF, for resubmission
Bangladesh	UNDP	GCF	July 2017	Latest comment from GCF received in October 2017, for resubmission
Benin	UNDP	GCF	July 2017	Awaiting response from the GCF
Bosnia and Herzegovina	UNDP	GCF	April 2017	Received 3 rounds of comments from the GCF, for resubmission
Colombia		GCF		
Democratic Republic of the Congo	UNDP	GCF	February 2017	Received comments in September 2017, resubmitted in October 2017
Dominican Republic		GCF		
Ecuador	UNDP	GCF	April 2017	Received 3 rounds of comments from the GCF, resubmitted in October 2017
Egypt	UNDP	GCF	July 2017	Received comments from the GCF in October 2017, for resubmission
Kenya	FAO	GCF		Proposal submitted to the GCF
Lao People's Democratic Republic	UNDP	LDCF		Technically cleared and awaiting funding
Lao People's Democratic Republic	UNEP	LDCF		PIF technically cleared
Liberia	UNDP	GCF	September 2016	Approved. First tranche of disbursement in process
Madagascar	UNDP	GCF	April 2017	Received comments from the GCF in September 2017, for resubmission
Malawi	UNDP	LDCF		Technically cleared and awaiting funding
Malawi		GCF		Proposal received by the GCF
Mali		GCF		Proposal received by the GCF

<i>Country</i>	<i>Agency</i>	<i>Fund</i>	<i>Date of submission for funding</i>	<i>Status</i>
Mauritania		GCF		Proposal received by the GCF
Mongolia	UNEP	GCF		Proposal received by the GCF
Montenegro	UNDP	GCF	July 2017	Received comments from the GCF in October 2017
Myanmar	UNEP	GCF	July 2017	For resubmission
Nepal	UNEP	GCF	April 2016	Approved in November 2016
Niger	UNDP	GCF	February 2017	Endorsed in August 2017, pending integration of final comments
Niger	UNDP	LDCF		Funding approved
Pakistan	UNEP	GCF		Approved in June 2017
Rwanda	UNEP	LDCF		PIF technically cleared
Sao Tome and Principe	UNEP	LDCF		PIF submitted
Senegal	UNDP	LDCF		Technically cleared and awaiting funding
Serbia	UNDP	GCF	July 2017	Received comments from the GCF in October 2017, for resubmission
Swaziland		GCF		Proposal received by the GCF
Timor-Leste	UNDP	LDCF		Funding approved
United Republic of Tanzania	UNDP	GCF	April 2017	Received comments from GCF in September 2017, for resubmission
Uruguay	UNDP	GCF	February 2017	Received 3 rounds of comments from the GCF, resubmitted in October 2017
Uzbekistan	UNDP	GCF	July 2017	Received comments from the GCF in October 2017, for resubmission
Zimbabwe		GCF		Proposal received by the GCF

*Notes:* (1) Update to annex II to document FCCC/SBI/2016/INF.11; (2) Information sources: GCF, UNDP, UNEP and FAO.

*Abbreviations:* FAO = Food and Agriculture Organization of the United Nations, GCF = Green Climate Fund, LDCF = Least Developed Countries Fund, NDA = national designated authority, PIF = project identification form, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme.