

## Submission

**Information on progress made towards the achievement of the objectives of the process to formulate and implement national adaptation plans, experiences, best practices, lessons learned, gaps and needs, and support provided and received in the process to formulate and implement national adaptation plans (according to Decision 4/CP.21)**

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## 1. Introduction

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH has over 50 years of experience in a wide variety of areas, including economic development and employment, energy and the environment, and peace and security. The diverse expertise of our federal enterprise is in demand around the globe, with the German Government, European Union institutions, the United Nations and governments of other countries all benefiting from our services. The German Federal Government is our main commissioning party, who we support in achieving its objectives in the field of international cooperation for sustainable development.

The National Adaptation Plan (NAP) process was established in 2010 as part of the Cancun Adaptation Framework to complement the existing short-term national adaptation programmes of action (NAPAs). The NAP process is designed to support all developing countries, especially the least developed countries (LDCs), in satisfying their medium- and long-term adaptation needs. The NAP process allows governmental entities to (1) identify and prioritise adaptation action in all sectors (“informed decision-making”), (2) to operationalize and implement preventive measures and (3) to plan public investments and allocate funds according to the climate risks the respective country faces. The overall aim is to develop a coherent national policy approach on adaptation, covering all sectors, coordinating all political levels and bringing the most relevant stakeholders together, rather than implementing “stand-alone” adaptation measures. Such a coherent approach finally allows to incorporate adaptation measures into public budget lines and to mobilise additional private-sector or international finance for adaptation, where needed.

At the Conference of the Parties of the United Nations Framework Convention on Climate Change (UNFCCC) in Durban in December 2011, bilateral and multilateral agencies were invited to support the NAP process and to establish support programmes. Since then, mainstreaming adaptation and supporting NAP processes has become a core component of GIZ’s work beyond its climate portfolio.

## 2. How does GIZ NAP support look like?

### Conceptual grounding

NAP processes are meant to reduce vulnerability, build adaptive capacity and mainstream adaptation to climate change into all sector-specific and general development planning. The NAP process can become a powerful policy instrument for facilitating the paradigm shift towards climate resilient development. The Least Developed Countries Expert Group (LEG) has published the NAP Technical Guidelines, which specify the process from conceiving a NAP document to monitoring its implementation. GIZ follows these NAP Technical Guidelines and supports the different phases of this process and developed the following overall principles for NAP support (compare figure 1 below):

## Conceptual principles for GIZ NAP support

- Adaptation cannot be separated from sustainable development
- Mainstreaming requires a cross-sectoral and „whole of government“ approach including a multi-stakeholder dialogue
- NAP is not a „monolithic“ plan (rather a “pipeline of interventions”)
- Adaptation action should be country-driven, gender responsive, participatory and take into consideration vulnerable groups, communities and ecosystems
- NAP processes can serve as the “operational vehicle” for implementing the adaptation goals of Nationally Determined Contributions’ (NDC) by translating adaptation commitments into concrete action

## Instruments

Since 2011, GIZ supports partner countries in formulating and implementing NAPs through technical advice and capacity building. Support of NAP processes can take various forms, such as technical advice, knowledge brokerage, financial support and regional or virtual exchanges. The NAP Technical Guidelines provide a good framework for completing the NAP process, but specific tools for fulfilling the single steps are needed. For this purpose, GIZ develops tools, training materials and knowledge products e.g. for taking stock of climate risks, for identifying adaptation planning and financing needs, for developing financing strategies and for the monitoring of adaptation results (please compare Table 1 below). GIZ provides this specific technical assistance through its global support programs: the Climate Policy Support Project, the Support Project for the Implementation of the Paris Agreement, the Climate Finance Readiness Programme, the Mainstreaming EbA - Strengthening Ecosystem-based Adaptation in Planning and Decision Processes Project, the Global Programme on Risk Assessment and Management for Adaptation to Climate Change, as well as the project for Effective Adaptation Finance – M&E Adapt. GIZ further implements bilateral or regional in-country projects assisting partner countries in mainstreaming adaptation into planning and public budgeting, as well as in implementing adaptation action according to their NAP process. At the same time, GIZ collaborates closely with other donors, multilateral organizations and multi-stakeholder initiatives to support partner countries in their NAP process (compare third category of NAP support below).

Table 1 gives an overview of the main GIZ NAP support approaches. A more comprehensive list is accessible via an online-platform, the **NDC Adaptation Toolbox**. It gives an overview of existing NAP and other adaptation-related tools developed by GIZ and reprocesses how they can be applied for NDC implementation (<http://www.adaptationcommunity.net/nap-ndc/ndc-adaptation-toolbox/>).

Table 1: Overview of main GIZ NAP support approaches

Resource Type	Title	Description
Tool	Stocktaking for National Adaptation Planning (SNAP)	The tool helps to take stock of the current national adaptation planning capacities and to identify strategic goals in preparation of the formulation of a country specific NAP Roadmap.
Tool	Framework for Climate Change Vulnerability Assessments	A framework presenting a structured approach to case-specific vulnerability assessments.
Tool	CliF Reflect	A tool supporting planners and policy-makers in reflecting on the current level of capacities within a country to mobilize and effectively manage climate finance.
Tool	NAP Align	This analysis tool helps to find the adequate entry points for mainstreaming adaptation in the overall development and budgeting planning framework of a country.
Tool	Prioritizing NAP measures (Meteorología de priorización)	Criteria based tool for prioritizing and selecting adaptation measures (developed and piloted in Mexico)
Tool	The Vulnerability Sourcebook (+ Risk Supplement)	A guidebook presenting a standardized approach to risk and vulnerability assessments and monitoring. An additional Risk Supplement gives practical guidance on the use of the IPCC AR5 Risk concept.
Data Platform	Tool for Assessing Adaptation in the NDCs (TAAN)	An analytic tool analysing the adaptation components of (I)NDCs according to a variety of aspects. Sectoral and country-specific analyses as well as statistics of all (I)NDCs are available.
Training	Integrating Climate Change Adaptation into Development Planning	A training helping to build understanding of climate change and how to mainstream adaptation.
Training	Mainstreaming Ecosystem-based Adaptation into development planning	A training course enhancing capacities of development partners for ecosystem-based adaptation.
Training	Dealing with Climate-related Loss and Damage as part of Comprehensive Climate Risk Management	A training helping to build capacities and initiate a dialogue on Loss & Damage and its integration into a comprehensive climate risk management approach.
Training	Adaptation M&E Training	A training providing a systematic introduction to adaptation M&E and the process of developing such systems and indicators at national and project level.
Training	NAP country-level training	A country-level training course setting the basis upon which a NAP process can be developed and managed.
Training	CliFiT	A training programme focusing on the latest developments in climate finance and the question of what is required in order to make effective use of climate funds. ( <a href="https://www.clifit.org/">https://www.clifit.org/</a> ).
Guidance	Financing National Adaptation Plan (NAP) Processes	Contributing to the achievement of nationally determined contribution (NDC) adaptation goals. A guidance note seeking to assist in the development of strategies for accessing finance for the NAP process.

Guidance	Demystifying Adaptation Finance for the Private Sector	A guide seeking to shed light on the role, potential and policy needs of private financial institutions in enabling adaptation to the unavoidable physical impacts of climate change.
Guidance	Adaptation made to measure	A guidebook describing steps to designing adaptation projects and their results-based monitoring systems using a case study from India.
Guidance	Vertical Integration in National Adaptation Plan (NAP) Processes	A guidance note for linking national and sub-national adaptation.
Guidance	M&E Guidebook	A guidebook providing orientation for the development of (sub)national adaptation M&E systems. Explicit reference is made to the Element D of the NAP process.
Guidance (upcoming)	Gender and Vulnerable Groups (GVG) and National Adaptation Plan (NAP) Processes / NDCs	A guidance synthesizing and presenting information and tools for the integration of gender and vulnerable groups considerations into adaptation planning.

<http://www.adaptationcommunity.net/nap-ndc/ndc-adaptation-toolbox/>

## NAP support in categories

There are three categories of GIZ NAP support:

### 1. Continuous in-country NAP support (bilateral or regional projects in partner countries)

Permanent support of partner countries in their NAP process based on NAP support projects or designated GIZ staff on the spot for more than one year. NAP support includes, as stated above, activities such as assistance in the development of NAP strategies, the integration of adaptation into sectoral and development planning, the development of prioritization and financing strategies, detailed stock-taking and analysis of starting points for the NAP process.

#### Countries:

GIZ on behalf of Federal Ministry for Economic Cooperation and Development (BMZ): Albania, Cambodia, Madagascar, Mauritania, Morocco, Tanzania, Togo, Vietnam, Jordan and Bangladesh (upcoming)  
 GIZ on behalf of Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB): Brazil, Grenada and Mali (jointly with UNDP), Thailand, Benin, Senegal and Burkina Faso (upcoming/ not yet approved)

These countries only reflect the number of projects fully designated to supporting the respective country's NAP process. However, GIZ's portfolio further includes a variety of other projects that are not implemented under the explicit heading of "NAP support". These projects correspond to a wider understanding of NAP processes and assist partner countries for instance in mainstreaming adaptation into specific sector or into budget processes at subnational level.

## 2. Ad hoc / selective NAP support

This includes the support of partner countries in specific stand-alone activities of their NAP process, such as kick-off workshops for the NAP process or the realization of national trainings on specific issues. GIZ develops and pilots new conceptual approaches for NAP implementation through its above mentioned global support programs: the Climate Policy Support Project, the Support Project for the Implementation of the Paris Agreement, the Climate Finance Readiness Programme, the project for Mainstreaming EbA - Strengthening Ecosystem-based Adaptation in Planning and Decision Processes and the Global Programme on Risk Assessment and Management for Adaptation to Climate Change, as well as the project for Effective Adaptation Finance – M&E Adapt.

Countries:

GIZ on behalf of BMZ: Angola, Djibouti, Cambodia, Ivory Coast, Gambia, Indonesia, Madagascar, Mauritania, Tanzania, and Tunisia, Ruanda

GIZ on behalf of BMUB: Peru, Mexico, Philippines, Vietnam, South Africa

## 3. Support via Multi-Stakeholder-Initiatives

The **NAP Global Network** (NAP GN)

As Germany is one of the founding members of the NAP Global Network (NAP GN), GIZ is highly involved in the NAP GN's activities and is part of its Steering Committee as well as of its Management Team. The NAP Global Network aims to enhance national adaptation planning and action in developing countries through coordination of bilateral support and in-country actors.

The Network currently involves 95 countries. Participating countries receive (limited) support through their participation in activities like the Targeted Topics Forums (currently targeting 18 cohort countries), NAP Assemblies or measures to strengthen NAP related in-country donor coordination. Additionally, network participants in developing countries can request expert advice and/or short-term, targeted in-country technical support on specific issues regarding their NAP process or its implementation

Cohort Countries:

BMZ supported: Albania, Brazil, Benin, Jamaica, Kenya, Malawi, Peru, The Philippines, Samoa, South Africa, Cambodia, Colombia, Madagascar, Tanzania, Togo

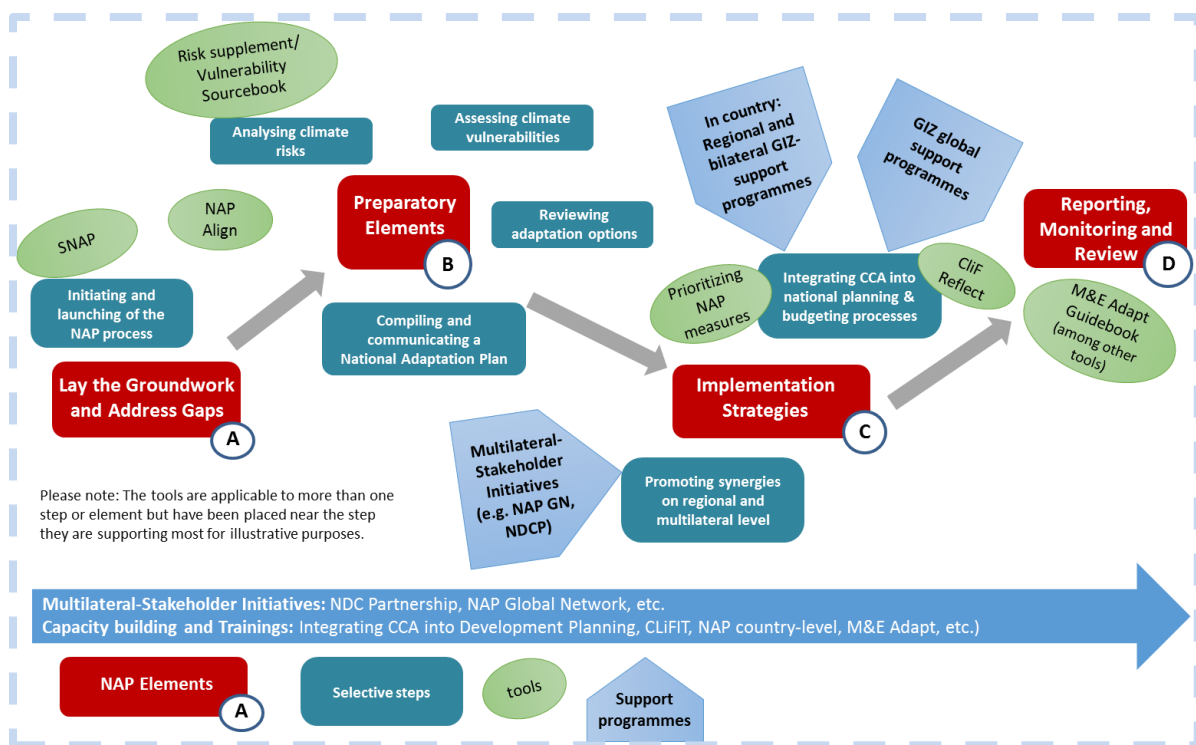
BMUB supported: Benin, Thailand, Grenada, Kenya, Mexico, Philippines

Beyond that, GIZ supports the BMZ and BMUB in their newly launched **NDC Partnership** that aims to assist countries in implementing their NDCs. Within that partnership donors and international organisations join forces to provide and coordinate support needed in partner countries in order to quickly and effectively implement their climate and development commitments. GIZ promotes NAP support as the “operational vehicle” for implementing NDC's adaptation goals and the alignment of both processes and institutions (NDC Partnership and the NAP Global Network). The NAP process is a well-

established process with valuable experiences and lessons learned on required institutional frameworks, process sequencing and stakeholder engagement, on which NDC mainstreaming and implementation can build on.

GIZ further collaborates with the UNDP/ UNEP **NAP Global Support Programme** (e.g. development of joint training materials, stocktaking workshops). Here, eight countries have been supported in their NAP process (Angola, Djibouti, Gambia, Côte d’Ivoire, Indonesia, Madagascar, Mozambique, and Tanzania).

Figure 1: Overview of GIZ tools and materials for NAP according to the four NAP process elements



### 3. Achievements and progress in GIZ NAP support: Illustrative examples

In light of GIZ's NAP guiding principle to provide NAP support in a country-driven, gender responsive, participatory way, the practical support of GIZ varies from country to country. According to the NAP Technical Guidelines the following chapter gives two country examples for each of the four main elements. The examples present a non-exhaustive list, only highlighting some of GIZ's supportive measures.

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

##### *Tanzania*

Following the first NAP Expo, the government of Tanzania developed an initial NAP roadmap in 2013, but lacked the financial means to implement it. The Vice President's Office (VPO) of Tanzania formally requested support from Germany/GIZ for the NAP process in 2015. Based on several scoping and planning missions, VPO and GIZ signed an implementation agreement for NAP support in 2016. The NAP process is coordinated by the VPO and managed by the NAP Secretariat, which has been jointly formed by GIZ and VPO, to manage the NAP process in Tanzania.

As part of laying the groundwork, the government of Tanzania established a National NAP Team comprising 25 representatives of almost all Ministries and of some academic institutions. The NAP Team serves as steering and decision making body of the NAP process. It is currently undertaking a comprehensive stocktaking of existing climate information, vulnerabilities, gaps and needs for the NAP process. The stocktaking includes engagement with all 30 districts of Tanzania mainland and Zanzibar to gather climate change impacts on subnational level and the respective responses of local governments. The stocktaking is not conducted by international consultants, but by national experts who are part of the NAP team, including academics of leading Tanzanian universities. The Stocktaking also includes a mapping of adaptation initiatives. A stocktaking report will be published in the first quarter of 2018 including recommendations for the NAP process. The NAP Secretariat also hold two awareness raising events for the NAP process among high-level government officials to increase knowledge about the process and ensure buy-in. Tanzania is an active member of the NAP Global Network and has participated in Targeted Topics Fora.

##### *Mauretania*

In 2004 Mauritania was one of the first countries to develop a national adaptation programme of action (NAPA). This NAPA is still perceived as a reference document but there has been no execution report or consistent implementation over the years.

In 2013 GIZ has provided support for laying the groundwork for a new NAP process. In close cooperation with NAP GN, UNDP and UNITAR GIZ has supported a NAP Training to provide a general understanding of the elements of the NAP processes and to link them to existing national climate change processes. By applying the SNAP-tool, the preconditions and strategic objectives were assessed for the further NAP process. On high level, GIZ supported a capacity building workshop with representatives from key ministries for climate change adaptation, such as Planning, Finance, Environment, Agriculture, Meteorology, Health and Infrastructure. So far, national and sectoral planning systems in Mauritania are not aligned with national financial planning systems. Therefore, GIZ introduced its NAP Align tool



to identify entry points for mainstreaming adaptation into development planning and public budgeting processes.

## Element B: Preparatory Element

### *Grenada*

In February 2015, Grenada kick-started its NAP process. GIZ and the Environment Division of the Ministry of Agriculture under the ICCAS Programme (Integrated Climate Change Adaptation Strategies) support the NAP process. The ICCAS Programme is funded by BMUB under its international Climate Initiative (IKI) and is implemented jointly by the Government of Grenada, GIZ und UNDP. The main coordinating body is the national Climate Change Committee with a sub-committee on climate change adaptation.

While adaptation actions were already taking place in different sectors in Grenada, the government sees the NAP process as an opportunity to take an integrated approach to adaptation by linking local and sectoral activities with national policies. Therefore, upon initiating the NAP process, Grenada's Environment Division and GIZ began with a stocktaking of ongoing adaptation efforts and a review of the National Climate Change Policy and Action Plan (2007–2011), which was one of the first important and comprehensive outlines of the Government of Grenada's approach to addressing climate change. Moreover, the Grenadian government also decided that climate change considerations will be an integral part of the new 15-year development plan that is currently being developed, led by the Ministry of Planning. Within sectors, an Integrated Coastal Zone Policy for Grenada has already been developed in a highly participatory manner with support from GIZ, complemented by the creation of a multidisciplinary coastal zone task force. A land-use policy is also being developed that takes into account climate change and adaptation aspects. Additionally, Grenada, with support from GIZ, has integrated climate change into its Agricultural Plan and into the work plans of officers from different divisions within the Ministry of Agriculture. A national adaptation and action plan for the water sector has also been developed. In the health sector, GIZ has conducted a qualitative vulnerability and adaptation assessment, which informed the development of a draft climate change and health action plan. Some priority measures of this action plan were later integrated in the NAP process.

The NAP process in Grenada fulfils an umbrella function and helps the Government of Grenada to understand how to integrate adaptation activities into national development planning and budgeting and identify national adaptation priorities that could be addressed in sector plans. Throughout 2015 and 2016, more than 150 stakeholders representing the public sector, the private sector and non-government organizations have identified priority climate actions. The process consisted of an extensive review of existing documentation (policies, plans, studies, reports) on climate scenarios, vulnerabilities and risk and adaptation options for nine sectors, namely agriculture, water, tourism, infrastructure, health, fisheries, forestry and coastal zone management, as well a specific area plan for the sister islands Carriacou and Petite Martinique. The Environment Division and GIZ organised workshops to develop sector plans. Following these sector-specific consultations, in October 2016, the Government of Grenada held its final consultation with more than 50 stakeholders from various sectors to finalize the draft NAP and to add costs and responsibilities. The final NAP document covers 5 years (2017-2021)

and can be seen as an umbrella document building on and unifying the already existing sectorial strategies and plans. The NAP document consists of 12 programmes of priority actions with 14 corresponding goals and 20 indicators with a total estimated budget of around USD 150-200 million.

### *Thailand*

Since 2015, the GIZ project 'Risk-based National Adaptation Plan' (Risk-NAP) has been supporting ONEP (Office of the Natural Resources and Environmental Policy and Planning) in its NAP efforts. Building on the existing vulnerability assessment, GIZ supported a gap analysis and the elaboration of impact chains with different sectors. As preparatory steps, Thailand, supported by the GIZ project, initiated the assessment of normative risks and gaps for the country's six priority adaptation sectors, along the main impact chain factors (hazard, exposure, risk, sensitivity and adaptive capacity) – a decisive step in devising the NAP document. Sectorial participation – namely in the fields of agriculture, water, natural resources, tourism, human settlement and health – was ensured through the continuous involvement of line ministries, academic institutions, non-government organizations and independent experts. The establishment of the NAP document is still-ongoing and planned to be finalised in end-2018. GIZ provides support in giving technical inputs and doing backstopping on the draft versions.

While some sectors started with the development of sector-specific climate strategies before the start of the NAP process, others only initiated activities through the NAP process. In the water sector, the Ecosystem-based Adaptation in Watersheds (ECOSWat) project, implemented by GIZ, on behalf of BMUB, together with international experts, experts from the Department of Water Resources (DWR) and the Royal Irrigation Department (RID), conducted vulnerability and risk assessments in three selected pilot river basins. The assessments provided recommendations for the integration of EbA-measures into water and river basin management. The project presented the EbA approach in the water sector to the NAP Working Group and as a next step, ONEP has the option to integrate it to the National Adaptation Plan (NAP).

With the NAP process, efforts are being made to align these single sectorial strategies so as to create a national adaptation framework within which progress can regularly and consistently be tracked. Another milestone was the establishment of the NAP Working Group, chaired by the ONEP Secretary General and composed of representatives from different ministries, mainly for decision-making related to the NAP development and implementation. This cross-sectorial working group allows for the identification of interdependencies as well as active mainstreaming of adaptation. Furthermore, the Ministry of Environment is intending to push adaptation planning further, notably through an Integrated Budget Allocation Framework to enable the provision of public funds for climate change adaptation, in close cooperation with the Ministry of Finance.

In this context, GIZ is not only supporting ONEP in sectoral mainstreaming, but is also providing strategic advice on the key elements of the NAP, such as M&E, finance, implementation mechanisms and international best practices. By closely following ONEP's process, the project has so far been able to complement the agency's efforts in a technically sound and timely manner, as the needs arose. The emphasis of the support in the coming months will be on the development of risk assessments in four sub-national pilots as well as more in-depth mainstreaming activities in the health, tourism and human settlement sectors.

## Element C: Implementation strategies

### *Albania*

In Albania, the NAP process was launched with the presence of the Deputy Minister of Environment in February 2015. The country developed the NAP document in close cooperation of relevant line ministries and under the lead function of the Ministry of Environment (MoE) heading the Inter-Ministerial Working Group on Climate Change during 2015 to 2016. The process received substantial support by GIZ ranging from providing technical assistance and backstopping, on-the-job-trainings to organizing workshops. Other donors, like UNDP and the NAP Global Network, were actively engaged in the process. Mainstreaming activities, supported by GIZ, accompanied the whole process. By March 2016, the NAP process has been linked to the process of national and sectoral territorial planning and to the integrated cross-sectoral plan for the coast, where climate proofing was included in the Strategic Environmental Assessment methodology. Climate Change adaptation in Albania is now also envisaged and substantially configured in the strategy for Integrated Water Resource Management (IWRM). In the meantime, GIZ facilitated Albania's membership to the NAP GN thus, learning and exchanging of experiences with other and countries undergoing a NAP process. The NAP document was launched in June 2016 in a NAP assembly organized in collaboration with the NAP Global Network.

The NAP document provides a framework for targeted mainstreaming and it is supplemented by a financing strategy that includes considerations of leveraging the domestic budget, the private sector, as well as international sources to finance implementation of their NAP. With respect to implementation strategies, it contains an implementation framework with 15 priority actions. Apart from water management, they encompass agriculture, health, the integrated cross-sectoral plan for the coast, municipal planning, tourism, civil defence and disaster risk reduction as well as ecosystem-based adaptation. In addition to the sectorial strategies, it comprises institutional and regulatory strategies on overarching mainstreaming initiatives, climate finance readiness, results-based monitoring, outreach initiatives and capacity building.

## Element D: Reporting, monitoring and review

### *Togo*

In April 2014, the Togolese Ministry of Environment with support from GIZ conducted an analysis of the national planning and budgeting system in order to align the NAP process with existing procedures. The NAP process is coordination by an interministerial committee, consisting of representatives from the public and private sector, civil society and women's rights groups under the lead of the Ministry of Planning. It followed a participatory and inclusive process with various workshops, where the NAP committee members elaborated the content of the individual NAP chapters and afterwards merged them into the NAP document with support from the editorial team.

GIZ provided particular support during the elaboration of the NAP document and the M&E strategy, by using the M&E guidebook tool. The groundwork for the M&E system was already laid during an initial stocktaking-workshop in April 2014 and exceeded during an M&E-workshop in August 2016, supported by GIZ. The use of the SNAP-tool facilitates a continuous monitoring process. With regard

to the M&E strategy, the general approach was to start simple and enhance the M&E system over time. The purpose of the M&E system is to monitor different 'dimensions' of the NAP process. This comprised, on the one hand, short-term indicators of the NAP process in the broader sense (mainstreaming of adaptation into planning, budgeting etc.), and on the other hand, medium and long term outcomes of adaptation (reduction of vulnerability). Examples for the selected short-term indicators are "number of sector strategies integrating climate change adaptation between 2017 and 2021" or "increase in the number of planned and financed adaptation measures". The development of outcome indicators in close coordination with sector ministries is considered for the future.

### *Cambodia*

In 2013, the Ministry of Environment (MOE) of the Royal Government of Cambodia requested support from UNDP, UNEP and GIZ to identify entry points for the Government to institutionalize Cambodia's National Adaptation Plan (NAP) process. It was suggested that the NAP process for Cambodia had several building blocks already in place that could be enhanced. As such, the NAP process has sought to build on and to strengthen the ongoing climate change adaptation processes through cross-sectoral programming and implementation at national and sub-national level.

With regard to reporting, monitoring and review, the National Council for Sustainable Development (NCSD) and its Department of Climate Change (DCC) have coordinated the development of the climate change monitoring and evaluation framework since 2013. Together with multiple stakeholders and in close collaboration with the International Institute for Environment and Development (IIED) indicators have been formulated and baselines established.

GIZ has been supporting the development of sectoral M&E frameworks for the Ministry of Agriculture, Forestry and Fisheries as well as for the Ministry of Health and the Ministry of Public Works and Transport. The national climate change M&E framework was formally launched in April 2016. In a next step, it will be integrated into national and sub-national development planning processes and will facilitate the tracking of the impacts of climate change interventions in reducing vulnerabilities and ensuring effectiveness in keeping national development on track.

A different approach for elaborating a national M&E-system was followed in **Morocco and Mexico**. In both countries, GIZ supported the development of sub-national M&E-systems with the objective to expand them in a later step to the national level.

### *Morocco*

**Morocco** has begun to develop its national climate change adaptation plan in order to facilitate the integration of climate change adaptation in a coherent and systematic way into policies, strategies and programs undertaken by the various sectors. GIZ supports the Office of the Secretariat of State to the Ministry for Energy, Mining and Sustainable Development responsible for Sustainable Development to elaborate a comprehensive set of tools and instruments for an improved governance of climate change adaptation (CCA). GIZ supported the methodological development and implementation of regional M&E systems in three pilot regions following the approach of the M&E guidebook. These developed M&E-systems were designed building on existent structures, namely the Regional Information System

on Environment and Sustainable Development (SIREDD). Once this transition will have succeeded, the regional SIREDDs will converge towards a national information system and will be able to respond to the review and monitoring needs of the NAP.

### *Mexico*

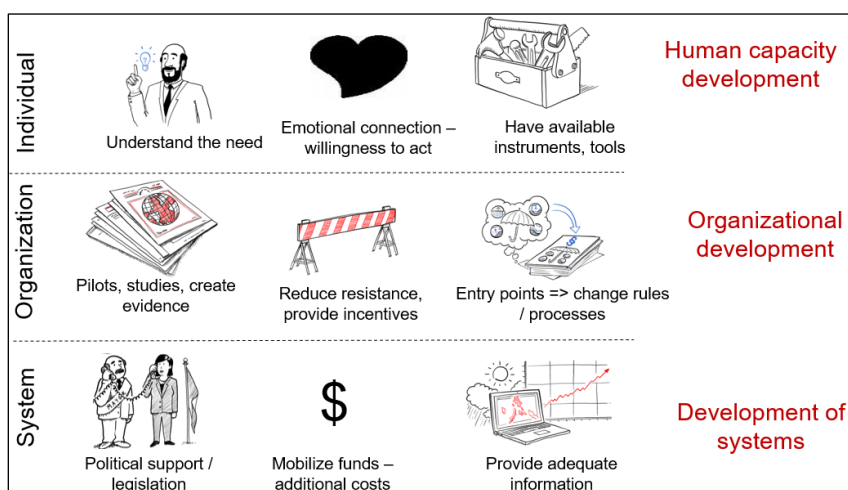
In **Mexico**, GIZ supported the development of an indicator set for adaptation at national level that includes 74 adaptation-specific and partly gender-sensitive indicators as a conceptual grounding for aggregated monitoring of adaptation efforts at national level in 2014. GIZ advised the operationalization of 43 indicators with a sufficient data basis for aggregation. In this process, the Ministry of Environment (SERMANAT), the national Institute for Environment and Climate Change (INECC) and the national Institute for Statistics and Geography (INEGI) were closely involved. The formalization of this national indicator system is currently under revision and various options, as well as potential adjustments/ updates of the system are discussed in the interministerial working group on adaptation (GT ADAPT). In 2017 Mexico decided to implement a NAP Process and foresees to link and formalize the national indicator system with it.

At the regional level, the State of Veracruz is one of the pioneers for establishing climate change policy and legal instruments. In Mexico, state level governments are autonomous entities in policy setting, institutional arrangements and decision making on Climate Change (CC). GIZ, on behalf of BMZ and BMUB, has advised on the criteria-based prioritization and selection of adaptation measures according to the state's vulnerabilities including first proposals for monitoring their impact. On this basis, GIZ further supported the development of a monitoring, reporting and verification (MRV) for mitigation and of a monitoring & evaluation (M&E) system for adaptation. The first version of the MRV and M&E system for the Sectorial Agendas on climate change was complemented with an Indicator System for Adaptation on climate change for the State of Veracruz (SI: Adapt-Ver). The MRV and M&E system is designed as an online platform, where each Ministry can report its advances. Currently GIZ advises the government of Veracruz in the integrated use of both systems (M&E and MRV) including cross-sector workshops with relevant governmental entities. Together with its partners in Veracruz GIZ further develops a guide on the lessons learned of developing and implementing an indicator systems for adaptation. Based on this experiences and lessons learned the replication of an aggregated monitoring system including a M&E and MRV component for mitigation has been also advised at the state of Jalisco and is envisaged in other Mexican states.

#### 4. Lessons learned, gaps and needs

Given its support and advice in various countries, GIZ has dealt with many challenges and can profit from divergent experiences and lessons learned. Figure 2 gives an overview of success factors identified by GIZ for processes of mainstreaming adaptation. The most crucial overarching factors to be considered in practically all NAP processes are described in more detail in text below.

Figure 2: Overview of success factors for mainstreaming adaptation



#### *Build on existing structures and processes*

Adaptation is not a goal itself but a process; therefore, mainstreaming climate change adaptation does not require additional or new structures. Many countries have already conducted preliminary studies or started comparable policy processes in single sectors, such as on adaptation in the health sector. Hence, NAP processes should build on given structures, like an existent inter-ministerial working group, and be aligned with the existing national development and budget planning procedures to ensure policy coherence and implementation.

In this regard, the national budget is an essential and limiting factor for NAP implementation. Every investment induces regular expenditures for operation and maintenance that burden the national budget. Especially for LDCs, donor support is vital to proceed from initial groundwork to implementing strategies. Having a NAP Secretariat, which provides technical capacity and financial resources on an ongoing basis in the country is a key enabler for the NAP process in a country to proceed. However, NAP processes are not only about investment - there might be effective measures to adapt to climate change with no, little or later budget implications (as for example the prohibition to settle in vulnerable areas).

#### *Assure high-level stakeholder involvement and define clear responsibilities*

Adaptation is a highly participative process. The participation of key stakeholders from the beginning of the process is crucial for the ownership and capacity building, because mainstreaming at sectoral level requires commitment of the respective line ministries. For instance in Tanzania GIZ has organised

high-level awareness workshops for Directors with local media coverage to promote a profound understanding and buy-in for the NAP process in the public (sector). In addition, official nominations of focal points in every ministry and clear responsibilities for the technical experts have proven to be helpful. Finally, assuring an efficient reporting of technical experts in inter-ministerial working groups to their Ministries is crucial for raising awareness and getting the needed political support.

#### *Enable cross-sectorial cooperation*

The establishment of a cross-sector NAP process team with public sector staff from all key sectors allow to take a “whole of government approach”. In many countries, it is a challenge to achieve cooperation and integration into the process from “strong” ministries, e.g. Energy, Finance, Economy, especially if the main coordination lies with relatively “weak” ministries such as Ministries of Environment. In this case, treating core issues in the inter-ministerial working entity on the NAP process that lie in another ministry’s responsibility can entice involvement and higher ambition. For example, in Albania the Ministry of Finance was initially not interested to participate in the NAP process. But the preparation of the financing strategy, which also focusses on domestic financing and proposes steps for integrating adaptation planning in the domestic budget cycle, was key to win the Ministry as an active member of the inter-ministerial working group.

#### *Provide network support and mutual learning*

Capacity-building is required as a part of a sustained strategy for mainstreaming adaptation, both on political decision-maker level, as well as on technical level. International forums and support-hubs are crucial for mutual-learning and exchange of best-practices. Membership in the NAP Global Network and regularly participation in its global exchange forums known as Targeted Topic Forum provides peer exchanges with stakeholders from other countries. For example, in Albania the NAG Global Network has helped to identify opportunities for mainstreaming such as the integration of adaptation into the Regional Development Fund, as well as the mainstreaming of adaptation into the mid-term budget. Albania has submitted a request to the country support hub and is now receiving technical assistance from the Network to undertake these mainstreaming activities.



## 5. Outlook

In perspective GIZ aims within its NAP process support to contribute / to further promote...

- **using the NAP process for NDC implementation:** regardless of where countries may be in their NAP process and whether the (I)NDC includes an adaptation component, the NAP process can inform the development of possible future iterations of adaptation goals: ‘what’ a country is seeking to achieve. Above all, the NAP process can facilitate the implementation of the adaptation goals and define ‘how’ NDC adaptation goals are implemented (please compare illustrative example from Jordan below);
  - avoiding duplication of efforts and making efficient use of limited resources by establishing coherent governance structures at the national level
  - Enhancing inter-sectoral coordination and alignment
  - Supporting identification of adaptation-mitigation co-benefits
- **linkages of the NAP process to comprehensive climate risk management** to also account for residual climate risks related to extreme weather events and slow-onset changes. The NAP process could serve as first starting point to align comprehensive climate risk management and the implementation of adaptation goals at country-level. The NAP process can serve as an overarching process to promote a coordinated approach to climate risk management, e.g. via linking NAPs and contingency/ disaster risk response plans, considering climate risk insurance solutions in NAP implementation, etc. [first policy brief developed];
- **to a gender-sensitive implementation of NAP processes** in order to ensure that most vulnerable groups get particularly involved [a respective guidance document is currently under development];
- **to an enhanced use of quantitative approaches to inform decisions-taking on adaptation** and illustrate opportunity costs within NAP processes, e.g. cost of adaptation vs. non-action will help to catch decision-takers’ eye at potential opportunity costs and to unlock the potential of public investments to leverage private adaptation finance, as it is becoming increasingly apparent that sustainable action is necessary to achieve long-term economic growth [various publications are available on adaptationcommunity.net];
- **to generate stimuli for aligning efforts from private and public sector for NAP implementation**, combining resources and supporting the private sector in contributing to the implementation of adaptation goals defined in NAPs and NDCs [first workshop with private sector stakeholders in October 2017]
- **linkages of NAP processes to the development of long-term strategies** (covering the time horizon until 2050) in its work. Decisions on long-term planning and intermediate action have to be taken at the same time and both processes have to really speak to each other [no concrete activities to date foreseen];

### *Jordan: Implementing NDC adaptation goals through the NAP process*

GIZ on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ) supports the project “Initiating the national adaptation plan process in Jordan to support the implementation of the Paris Agreement and Jordan’s NDC”. Building on initial capacity building activities



implemented by GIZ in 2015 and 2016, Jordan's Ministry of Environment (MoENV) launched its national adaptation plan (NAP) process in 2017.

The NAP process in Jordan strives to support the implementation of the Paris Agreement as well as the country's NDC. GIZ's approach for the NAP process includes: identifying a coordination structure for stakeholder consultations, tailoring and applying a methodology to integrate adaptation into planning processes, providing capacity building for drafting a NAP document, and setting up an M&E Framework. The NAP process was initially launched in 2017. Two successful workshops took place for the SNAP and NAP Align and a third workshop to consider mainstreaming gender and vulnerable groups' considerations in the NAP process is due to take place in October.

Jordan's NDC includes adaptation comprising several priority actions for different sectors. Key stakeholders in Jordan regard the main added value of the NAP process in "connecting the dots" of already existing adaptation projects and in ensuring that the high potential of the relevant activities carried out so far is being used in a more strategic manner. In addition, the capacities built during the NAP process could directly benefit future NDC iterations.

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