

# NAP PROGRESS IN PARTICIPATION AND TRANSPARENCY

USING THE JOINT PRINCIPLES FOR ADAPTATION TO ASSESS PROGRESS IN PARTICIPATION AND TRANSPARENCY IN THE NAP PROCESSES.

BASED ON INPUT BY SV-ADAPT PARTNER NETWORKS IN VIETNAM, CAMBODIA, NEPAL, SRI LANKA, KENYA AND MALAWI

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ASSESSMENT BY SV-ADAPT PARTNER NETWORKS IN VIETNAM, CAMBODIA, NEPAL, SRI LANKA, KENYA AND MALAWI

## INTRODUCTION

Southern Voices on Adaptation has been invited by the UNFCCC to attend the expert meeting to assess progress made in National Adaptation Plans (NAPs), 7-9 February 2018 in Sao Tome and Principe, and to submit input on how countries have ensured that their work on NAPs is “**participatory and transparent**”, including through stakeholder engagement, policy frameworks, etc.

To provide an assessment on progress in participation and transparency, we have used the SV-Adapt [Joint Principles for Adaptation](#) and 28 criteria developed during 2014 – 15, by the Southern Voices on Adaptation network, as a tool for monitoring and shaping national adaptation policy frameworks. We regard the JPA as a benchmark for equitable and effective adaptation policies.

The JPA are included as a supplementary material for the NAP technical guidelines, and are used by the SVA partners in their dialogue with national and local governments and other stakeholders to improve adaptation policies and their implementation.

To respond to the invitation from to submit input on NAP progress in participation and transparency, we decided to select a subset of the JPA criteria, and asked partner networks who are engaging in NAP processes to give an updated picture of the status.

The time for the exercise has been short, so it has been a quick and rough process: Only around two weeks to respond and synthesise the data. The outcomes and findings rely on the rough assessments by partner networks who engage in NAP processes. From the Secretariat we have had limited capacity to validate the assessments. We hope the assessment will enrich the discussion of NAP progress on these issues. The input from the LEG Expert meeting on the exercise, its usefulness, and how the tool might be improved will be most welcome.

## METHODOLOGY

The principles and criteria used to assess **progress in participation** by partner networks are listed below. To assess progress on participation – we have used Principle A its three criteria, as well as Criteria D1, which is an important indicator of participation in local adaptation planning – which we consider should be an integral part of adaptation planning and implementation (vertical integration).

<b>Principle A. The formulation, implementation and monitoring of adaptation policies is participatory and inclusive</b>
<i>Criterion A1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities</i>
<i>Criterion A2. The knowledge and experience of local communities and indigenous peoples is incorporated</i>
<i>Criterion A3. Plans and policies are publicized in ways that local people can understand and engage with</i>
<i>Criterion D1. Communities affected by climate change participate in defining adaptation options and priorities</i>

To assess **progress in transparency** we have used the five criteria under Principle B, as well as criterion G4 – which relates to transparency of climate change information – relevant to stakeholders for proper adaptation planning.

<b>Principle B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>
<i>Criterion 1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented</i>
<i>Criterion 2. Adaptation funding is made available through a transparent process of allocation</i>
<i>Criterion 3. There is full and free access to information on how adaptation funds are being spent (finances and processes)</i>
<i>Criterion 4. There is a mechanism in place to safeguard against initiatives that might have negative impacts</i>
<i>Criterion 5. A secure mechanism for expressing grievances and seeking redress is available</i>
<i>Criterion G4 Climate information is made accessible to enable adaptive decision making by all stakeholders</i>

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For the rating against each criterion, we have used a rough scale between 0 and 3 following the [SV-Adapt Assessment Tool](#), related to the national context, and an explanation for the rating has been given. The ranking scale is quite rough covering the following steps: 0 – no start made, 1 – some conditions in place, 2 – significant progress, 3 – substantially achieved.

Also partner networks have provided narrative presentations of the NAP progress and situation, covering the progress of the NAP process in their country, the involvement of civil society and other stakeholders, positive features to share, and challenges faced.

We would like to emphasize that the situation in the countries covered and the ranking should not be compared, as the national contexts in term of financing for the NAP process, governance and political systems are very different.

The Joint Principles for Adaptation – and the ranking in the assessment tool, are not developed to compare countries, but to identify progress and gaps in each country, in an effort to promote effective and equitable adaptation frameworks. In a number of countries where SV-Adapt is working governments have not yet initiated NAP processes, and the tool has been used on other types of adaptation policy frameworks.

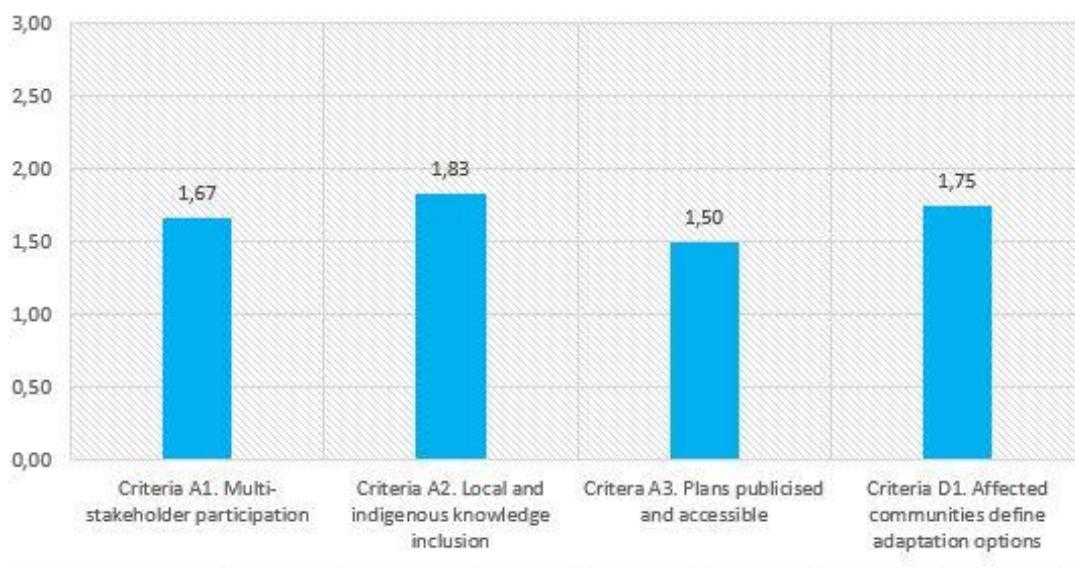
## **PROGRESS ON PARTICIPATION**

To measure the progress on participation we have used:

**JPA Principle A : The formulation, implementation and monitoring of adaptation policies is participatory and inclusive. The assessment of this is broken down into four criteria.**

The principle is comprised of four criteria presented separately below. The Criterion D1 originates from principle D in the JPA – relating to local adaptation plans, but is included here as it is important for participation – to cover vertical integration of the NAP-planning.

Average Rating for Participation Criteria (Scale 0-3)



**CRITERION A1 - AVERAGE SCORE 1,67: MODERATE PROGRESS**

**Multiple stakeholders** (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) **participate in defining options and priorities.**

The average scores from country networks range between 1 (Malawi) to 2 (Cambodia, Vietnam and Nepal)

The overall picture is that there is that all countries analysed allows for some engagement of civil society and other stakeholders, while the scope of involving the stakeholders vary a lot between countries,

In **Malawi** the assessment is that *Mechanisms for stakeholder consultation are defined in general terms in various policy instruments but there are no mechanisms for various stakeholders to define options and priorities in the context of climate change adaptation planning.*

In **Vietnam** the finding is that the relevant ministry *is quite more open to enhance the participatory with other stakeholders in developing and implementing governmental policies... However, NAP is still at the beginning of development step so CSOs has not had much involvement so far.*

**CRITERION A2. AVERAGE SCORE 1,83: CONSIDERABLE PROGRESS**

**The knowledge and experience of local communities and indigenous peoples is incorporated**

The rating is 2 in all countries, except for Vietnam, scoring 1.

**Cambodia** seems to have a remarkable track record: *The vulnerable farmers, IP and affected community were regularly engaged in consultative workshop such as farmer forum, dialogue session with policy marker and inputs into the research or joint statement. The community asks (80%) were reflected into the NAP priority and Environment Code.*

**Nepal** also have both formal recognition and a consultative process, while in **Vietnam** the network emphasises how *many reports from CSOs have been shared with Gov at workshops, meetings...* while **Malawi** emphasises that *most of the policies do not articulate specific ways in which indigenous knowledge can be harnessed and utilized.*

**CRITERION A3: MEDIUM SCORE 1,5 – SOME PROGRESS****Plans and policies are publicised in ways that local people can understand and engage with**

Here scores vary between countries between 1 and 2. The key issue related to whether plans and policies are available in vernacular languages. This is the case in **Malawi** where *the recently developed climate change and disaster risk management policies have been summarised and translated into vernacular languages. The trend will continue with the other policy documents to be developed.*

However, in **Vietnam** the challenge is to move beyond technical ministerial language and information access: *This language limits understanding by general public (MoNRE, 2014). Yet, rural people, particularly those in the remote areas, ethnic minority people are not aware of this source of information nor be able to access due to internet limit.*

**CRITERION D1 SCORE 1.75 CONSIDERABLE PROGRESS****Communities affected by climate change participate in defining adaptation options**

The scores are differing widely between 3 in Nepal signifying “substantially achieved” to four countries scoring one only – basic conditions in place.

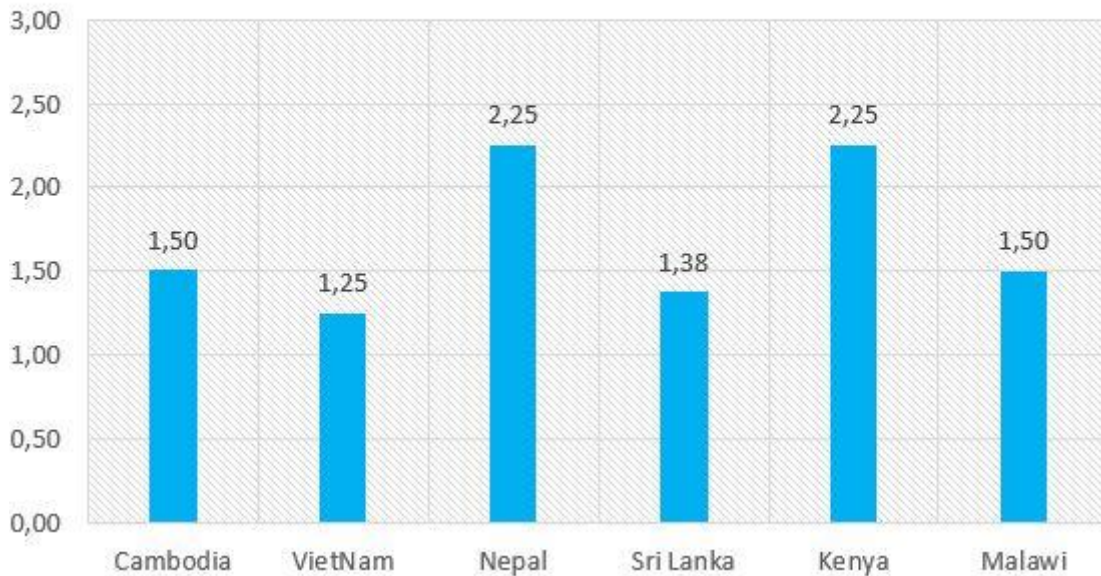
The impressive rating in **Nepal** reflects the country's track record in providing Local Adaptation Plans of Action a cornerstone in national adaptation planning: *Communities have opportunity for feedback and input into proposed plans before final decisions are made- In the context of Nepal LAPA is being formulated by using its seven step cyclic process, where communities have equal rights to put their views and ideas.*

In **Vietnam** the SVA partner emphasises the gap between the policy and the reality: *Within NTP-RCC policy itself, the two-way dialogue approach especially focus on local community is highlighted. However, in reality, there is no mechanism for communities to involve in the planning process and implementation and very few communities (in several outstanding provinces like Can Tho, Ben Tre, Quang Nam with strong support from donors) have opportunities for feedback and input to the program's implementation.*

In **Cambodia** – the SVA partner mentions their own role, and the lack of resources to reach out to all communities in contributing to rolling out the NAP at the local level: *NECA members worked closely with the commune to ensure that the community are aware of climate impact and their needs for CCA are incorporated and supported in CIP/CDP [community investment/development plans, ed.]. Still, only very tiny number of communes were targeted.*

**THE OVERALL RESULT FOR 6 COUNTRIES ON PARTICIPATION IS SOME PROMISING PROGRESS - WITH A SCORE OF 1,69**

## Partner Country Average Rating Participation

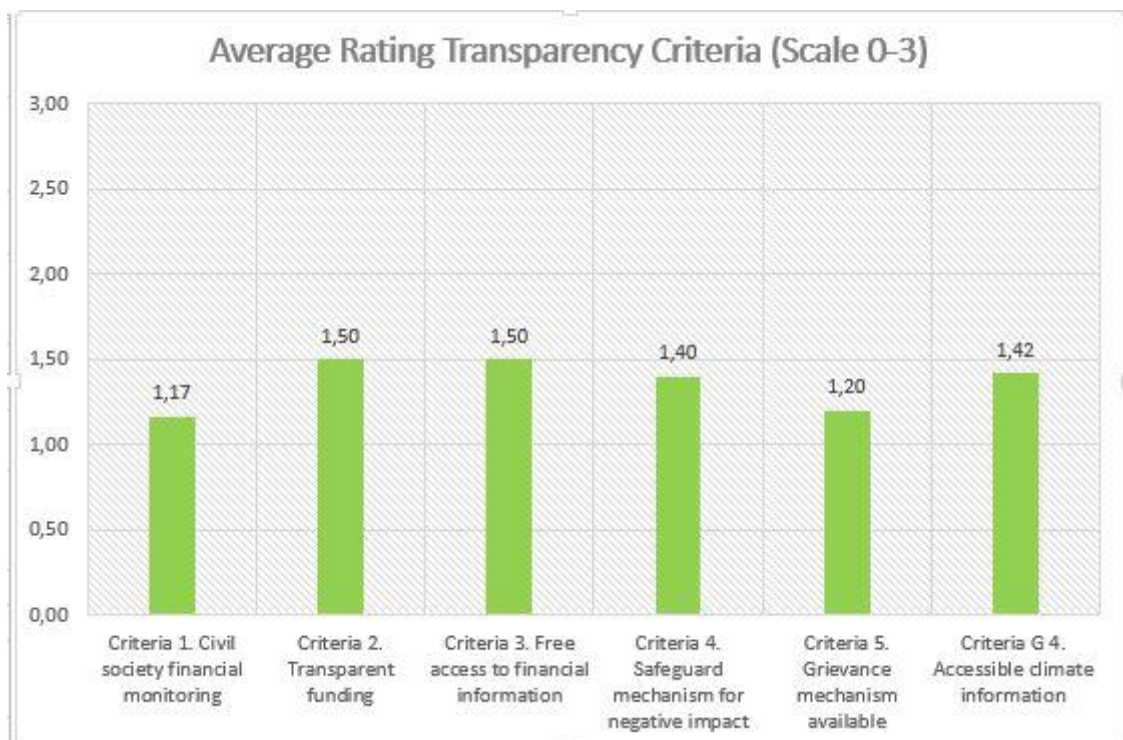


### PROGRESS ON TRANSPARENCY

To report on transparency we have used:

**JPA Principle B: Public funds for adaptation are utilized efficiently and managed transparently and with integrity.**

Some of the criteria used to measure progress here is going beyond the focus of transparency in fund management, and include also monitoring of the implementation of policies and plans.



**CRITERION B1: SCORE 1,17 A LOW RECORD, FEW MONITORING SYSTEMS IN PLACE**

**The implementation and financing of plans is periodically monitored by a body on which civil society is represented.**

The rating moves between 0 and 3.

The reason for the low rating in many cases is based on the fact that monitoring mechanisms have not yet been developed. In **Cambodia** the SVA network mentions that a monitoring system has only been established in 2017 and that civil society is part of, as a reason for the score 1 signifying that “some conditions are in place”. This is also the case in Malawi, where *there is no body which is involved specifically in plan monitoring, but where the adaptation sub-committee [of the National Technical Committee on Climate Change, ed.] provides an overall oversight of the implementation of the adaptation plans and civil society are represented.* The reason for **Vietnam** scoring 0 is that *The MRV system under PA and NAP is still in developing process.*

**CRITERION B2: SCORE 1,5 SOME PROGRESS**

**Adaptation funding is made available through a transparent process of allocation**

The scores range between 1 and 3. Some of the reasons given for Significant progress (2) is from **Nepal** stating that *Allocation of all adaptation monies for various uses is made known, with little information on how it has been decided- The information are available to the public only after the decision made by concern authority. .*

**Vietnam** emphasise that criteria for allocation have been publicised, but **Malawi** mentions that the information from government on funding is “*controlled and regulated*”

The reason for the low score in **Cambodia** is that despite a transparent framework being in place, there are no resources channeled through it: *There were limited funding sources from CSOs and government. It is now only project-based funding. There is a financing allocation framework in place that contributes to the transparent process in the future.*

**CRITERION B3: SCORE 1,5 – SOME PROGRESS**

**There is full and free access to information on how adaptation funds are being spent (finances and processes)**

**Nepal** and **Malawi**, ranking 2 for significant progress, give as rationale that *Information of expenditure of all adaptation monies can be obtained with some effort although not everyone can access the information. Obtaining information is restricted.*

**Cambodia** highlight the lack of a database or system mapping adaptation finance and projects: *There is no database and M&E system in place now. We can request for information about funding / projects directly from different stakeholders who fund the projects such as the ADB, UNDP and the Ministry of Environment.* The opposite seems to be the case in **Vietnam** where *funds go into central budget support, rather than target projects. This information is not publicized and freely available.*

**CRITERION B4: SCORE 1,4 A LITTLE PROGRESS**

**There is a mechanism in place to safeguard against initiatives that might have negative impacts.**

The rating ranges between 3 substantially achieved in Nepal to 1 in Vietnam and Malawi, and 0 in Cambodia. The partner network in **Nepal** indicates that *civil society has opportunity to propose measures to mitigate negative impacts of proposed actions* – as the rationale for scoring 3. While the network in **Malawi** highlights that the mechanism in place is now working well: *The Environmental and Social Impact Assessment (ESIA) is a requirement by law but the practice/implementation is not properly done. Consultants to conduct the work are rarely made public*. This picture is the same in Vietnam where ESIA's are rarely meaningfully conducted.

**CRITERION B5: score 1,2 POOR PROGRESS**

**A secure mechanism for expressing grievances and seeking redress is available**

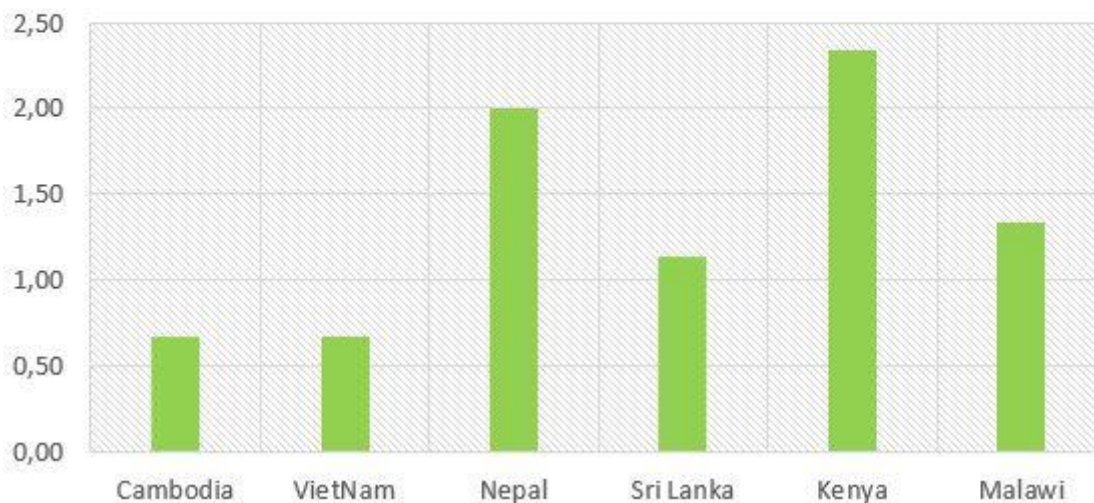
The rating range between 2 – substantial progress to 0 in **Vietnam**, where there is *no mechanism for grievance or complaints is in place*. In **Cambodia** there is a general complaint mechanism in place at the local commune level, called “accountability box”, but beyond that there is *no any specific mechanism at different levels*. In **Malawi** the SVA network highlight that there are general complaint mechanisms at local level and through the court system, but that *the procedure of redress for possible adaptation failure is not explicitly documented in adaptation planning documents. As such, existing mechanisms cannot easily be considered as mechanism for redress in the absence of clear guidance*.

**CRITERION G4: SCORE 1,42 A LITTLE PROGRESS**

**Climate information is made accessible to enable adaptive decision making by all stakeholders (FROM PRINCIPLE G)**

**THE OVERALL RESULT FOR 6 COUNTRIES ON TRANSPARENCY – PRINCIPLE A IS POOR PROGRESS - WITH A SCORE OF 1,35 – BELOW MIDDLE.**

Partner Country Average Rating on Transparency (on 0-3 scale)





## NAP PROCESSES IN PARTNER COUNTRIES IN DIFFERENT STAGES.

The assessment of participation and transparency below cover NAP processes in very different stages of progression in the partner countries covered: In Sri Lanka and Kenya the NAP is completed in a first version but implementation is only in very early stages. In Cambodia the NAP process was launched in 2017 and a Financing and Implementation Framework has been developed – emphasizing mainstreaming into existing planning processes, including through local investment and development plans. In Nepal the NAP process has been prepared during 2017 with strong elements of multistakeholder and civil society involvement – and with a decentralized approach and focus on Local Adaptation Planning that was developed during in the National Adaptation Plan of Action in Nepal. In Malawi the NAP the roadmap and the stocktake have been achieved, but the process has stalled due to lack of financial sources. The partner network has assisted government in applying for NAP readiness funding. In Vietnam the process is still very young, as only in 2017 government decided to include a NAP process in the Paris Agreement implementation framework.

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## CIVIL SOCIETY ENGAGEMENT

In all countries Southern Voices partner networks have engaged in the NAP processes, and everywhere they have used the Joint Principles for Adaptation as a tool to engage with government counterparts whether at national or local levels as well as with CSO membership and constituencies

The involvement of partners reflect their involvement in the different stages of the process. In Sri Lanka the partner network CANSA Sri Lanka co-hosted the first NAP workshop with the Government with participation, , and have been part of the process throughout. While in Vietnam – modalities for civil society involvement have still not been developed, and the SVA partner network - the Climate Change Working Group under VUFO, is exploring opportunities to engage with the Ministry for Natural Resources and the Environment to get involved in the process, which is being rolled out through the provinces. In Malawi the Civil Society Network on Climate Change, has been engaged in the process throughout and contributed with inputs, trainings, and a vulnerability analysis. Further, they have supported the government in developing an application for NAP readiness funding from the GCF. In Nepal the Clean Energy Nepal, hosting the CANSA Nepal chapter has been closely engaged in the NAP process focusing on the principle of leaving no one behind, and is involved in a process of climate change awareness to allow local communities to engage in the NAP consultation process.

## POSITIVE FEATURES OF NATIONAL NAP PROCESSES TO LEARN FROM

Partner networks were asked to highlight positive features of their NAP processes which could provide inspiration and learning to others. The issues mentioned vary a lot and include:

**Kenya** among other elements highlight how the **NAP planning and implementation takes account of the decentralized governance structure in the country** and involves the counties who along with other stakeholders – including civil society – were involved both in the Adaptation Technical Analysis Report informing the NAP, and are involved in the implementation.

**Sri Lanka** highlights that the “various access points for civil society actors” as CSO participation is required for technical support and feedback, and that CSOs, IGOs and government agencies co-produce adaptation relevant material. This is echoed from **Malawi** emphasizing that the NAP process is designed in an inclusive way, giving a chance to “all kinds and levels of stakeholders to contribute”, including civil society, faith-groups, academia, women and the youth.

**NAP has “assisted in terms of a mindset change”, moving from a short-term focus towards a “focus on medium and long term, and anchoring the national process also at international level (Malawi)**

**Vietnam** mentions that responsibility for the NAP as part of the Paris Agreement implementation has been delegated to the country’s 63 provinces – and this is seen as an opportunity for civil society to engage at the provincial as well as national levels.

**Nepal** mentions among many other aspects a) building on the track record of the Local Adaptation Plans of Action (LAPA)s under the NAPA framework b) alignment between the NAP, the SDGs and DRR and c) adopting “development first” with integration of adaptation actions.

## CHALLENGES TO ADDRESS

- **Capacity challenges:** There’s a technical capacity gap especially for those tasked with the implementation of the NAP, such as county offices (**Kenya**). This is also mentioned by Malawi, mentioning limited capacity in-country for analysing current and future climate change scenarios and climate modelling.
- **Financial constraints** are mentioned in several countries including **Malawi** where the process has stalled after the completion of the first phase when the Road Map and the Stocktaking Report was ready. Civil society has assisted government in preparing a GCF NAP Readiness application. in **Nepal**, the process is on hold due to technical problems relating to the NAP readiness grant from the Green Climate Fund.
- **Climate Change** is still **not considered as a priority especially in the national budgetary allocation** for domestic funding, and is seen as a challenge in Kenya.
- **An unclear plan for involvement of CSOs** in the NAP process is mentioned as a challenge in Vietnam.
- **Lack of resources to involve the local communities, CSOs, and other stakeholders** is mentioned from **Cambodia** as a challenge, as well as **lack of climate change information and long term scenarios** during the preparation of the NAP

**Annex 1. RATING PROGRESS ON PARTICIPATION AND TRANSPARENCY WITH JPA PRINCIPLES**

<b>NAP PROGRESS ON PARTICIPATION AND                      TRANS-PARENCY BASED ON SV-ADAPT                      PARTNER INPUT.</b>							
<i>RATING BETWEEN 0 AND 3,                      MEDIUM 1,5</i>							
<b>MEASURING PARTICIPATION - JPA                      PRINCIPLE A criteria 1-3, and                      criterion D1</b>	<b>Cambo-                      dia</b>	<b>Viet                      Nam</b>	<b>Nepal</b>	<b>Sri                      Lanka</b>	<b>Kenya</b>	<b>Malawi</b>	<b>Average                      Criteria                      Score</b>
<i>Criterion A1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities</i>	2	1	2	2	2	1	1,67
<i>Criterion A2. The knowledge and experience of local communities and indigenous peoples is incorporated</i>	2	2	2	1	2	2	1,83
<i>Criterion A3. Plans and policies are publicized in ways that local people can understand and engage with</i>	1	1	2	1	2	2	1,50
<i>Criterion D1. Communities affected by climate change participate in defining adaptation options and priorities (FROM PRINCIPLE D)</i>	1	1	3	1,5	3	1	1,75
<b>Average Score</b>	<b>1,50</b>	<b>1,25</b>	<b>2,25</b>	<b>1,38</b>	<b>2,25</b>	<b>1,50</b>	<b>1,69</b>
<b>MEASURING TRANSPARENCY - JPA                      PRINCIPLE B criteria 1-5 and G4</b>							
<i>Criterion 1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented</i>	1	0	1	1	3	1	1,17
<i>Criterion 2. Adaptation funding is made available through a transparent process of allocation</i>	1	1	2	1	3	1	1,50
<i>Criterion 3. There is full and free access to information on how adaptation funds are being spent (finances and processes)</i>	1	1	2	1	2	2	1,50
<i>Criterion 4. There is a mechanism in place to safeguard against initiatives that might have negative impacts</i>	0	1	3	n/a	2	1	1,40
<i>Criterion 5. A secure mechanism for expressing grievances and seeking redress is available</i>	1	0	2	n/a	1	2	1,20
<i>Criterion G 4. Climate information is made accessible to enable adaptive decision making by all stakeholders (FROM PRINCIPLE G)</i>	0	1	2	1,5	3	1	1,42
<b>Average Score</b>	<b>0,67</b>	<b>0,67</b>	<b>2,00</b>	<b>1,13</b>	<b>2,33</b>	<b>1,33</b>	<b>1,35</b>

## ANNEX 2 RATINGS AND COMMENTS BY COUNTRIES

1. BASIC INFORMATION ON PREPARATION OF THE REPORT			
Country: <b>Cambodia</b>			
Name of Network: The NGO Forum on Cambodia			
Contact person / e-mail: Dr. Tek Vannara, <a href="mailto:vannara@ngoforum.org.kh">vannara@ngoforum.org.kh</a> Mr. Sey Peou, <a href="mailto:peou@ngoforum.org.kh">peou@ngoforum.org.kh</a> Mr. Nop Polin, <a href="mailto:nopo@dca.dk">nopo@dca.dk</a>			
2. STATUS FOR EACH OF THE PRINCIPLES AND CRITERIA			
PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities	The government officers were engaged as a resource person for CSO regional consultation workshops. Through our platforms, community voices were promoted and all concerns from affected community were consolidated and handed to the relevant government stakeholders. NGOF and its selected members engaged in different policy consultations such as Environment Code and Environmental Impact Assessment (EIA).  CSO perspective papers were officially submitted by NGOF during official consultation workshop hosted by MoE.	2
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	The vulnerable farmers, IP and affected community were regularly engaged in consultative workshop such as farmer forum, dialogue session with policy maker and inputs into the research or joint statement. The community asks (80%) were reflected into the NAP priority and Environment Code.	2
	3. Plans and policies are publicized in ways that local people can understand and engage with	NECA members worked closely with Commune councils to ensure that the CIP/ CDP were publicized but still quite challenging. The plans were mostly shared during the commune meeting or forum.	1

<b>From Principle D</b>	D1. Communities affected by climate change participate in defining adaptation options and priorities	NECA members worked closely with the commune to ensure that the community are aware of climate impact and their needs for CCA are incorporated and supported in CIP/CDP. Still, only very tiny number of communes were targeted.	1
<b>B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	The CC-TWG just began late 2017 and its mandate includes monitoring. NGOF is part of it. The CC-TWG meeting with development partners provided a mechanism to monitor the implementation of the climate change response across Government and to strategically address any implementation issues, in cooperation with concerned ministries and sectoral TWGs. So it is new in term of monitoring process.	1
	2. Adaptation funding is made available through a transparent process of allocation	There was limited funding source from CSOs and government. It is now only project-based funding. There is a financing allocation framework in place that contributes to the transparent process in the future.	1
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	There is no any database and M&E system in place now. We can request for information about funding / projects directly from different stakeholders who fund the projects such as the ADB, UNDP and the Ministry of Environment.	1
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	Not applicable	0
	5. A secure mechanism for expressing grievances and seeking redress is available	There is complaint mechanism (accountability box) at the commune on general issues but no any specific mechanism at different levels	1
<b>From Principle G</b>	G4. Climate information is made accessible to enable adaptive decision making by all stakeholders	Not yet	0

### 3. BASIC INFORMATION ON PREPARATION OF THE REPORT

Country: **Vietnam**

Name of Network: Vietnam NGO Climate Change Working Group (CCWG)

Contact person / e-mail: Mr. Vu Quoc Anh – CCWG Coordinator/ [anh.vuquoc@oxfam.org](mailto:anh.vuquoc@oxfam.org)

### 4. STATUS FOR EACH OF THE PRINCIPLES AND CRITERIA

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities	MONRE is quite more open to enhance the participatory with other stakeholders in developing and implementing governmental policies and program. To achieve Paris Agreement, Vietnamese Gov launched the Implementation Plan for PA in 2017 with compulsory task to develop National Adaptation Plan. However, NAP is still at the beginning of development step so CSOs has not had much involvement so far.	1
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	Under Paris implementation plan, Vietnam Gov encourages the participatory of CSOs via sharing good practices in the field included the knowledge and experiences of local communities. Many reports from CSOs have been shared with Gov at workshops, meetings...	2
	3. Plans and policies are publicised in ways that local people can understand and engage with	Like other policies in Vietnam, the PA was formulated in strategy, master plan, and plan form with a view to orient for the government agencies. This language limits understanding by general public (MoNRE, 2014). Yet, rural people, particularly those in the remote areas, ethnic minority people are not aware of this source of information nor be able to access due to internet limit.	1

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>From principle D</b>	D1. Communities affected by climate change participate in defining adaptation options and priorities	Within NTP-RCC policy itself, the two-way dialogue approach especially focus on local community is highlighted. However, in reality, there is no mechanism for communities to involve in the planning process and implementation and very few communities (in several outstanding provinces like Can Tho, Ben Tre, Quang Nam with strong support from donors) have opportunities for feedback and input to the program's implementation.	1
<b>B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	The MRV system under PA and NAP is still in developing process	0
	2. Adaptation funding is made available through a transparent process of allocation	Under the Decision No 1719/QD-TTG by Prime Minister in 2011, the criteria for the selection and prioritization of projects related to climate change response was set up	1
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	NTP-RCC and SP-RCC funds go into central budget support, rather than target projects. This information is not publicized and freely available.	1
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	In some infrastructure projects, the social and environmental assessments are formally required but rarely meaningfully conducted	1
	5. A secure mechanism for expressing grievances and seeking redress is available	No mechanism for grievance or complaints is in place	0
<b>From Principle G</b>	G4. Climate information is made accessible to enable adaptive decision making by all stakeholders	The climate change information especially the technical & scientific one is not available for public with understandable language. There are very few projects about this topic and they are has not disseminated widely	1

5. BASIC INFORMATION
Country: <b>Nepal</b>
Name of Network: Clean Energy Nepal / CANSA Nepal
Contact person / e-mail: Rajan Thapa

**6. STATUS FOR EACH OF THE PRINCIPLES AND CRITERIA**

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities as well as in implementation and monitoring	A wide range of stakeholders is involved in developing plans – As Nepal’s NAP process is on hold for a moment, monitoring and evaluation part is not covered.	2
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	The importance of local knowledge is acknowledged in policies and plans- Series of consultation program has been organized by government together with CSOs and the queries raised by public has been addressed.	2
	3. Plans and policies are publicised in ways that local people can understand and engage with	Plans accessible but in language that limits understanding by general public – The documents are available in Nepali and English but since the documents are technical it is difficult for general public to understand	2
	D1. Communities affected by climate change participate in defining adaptation options and priorities	Communities have opportunity for feedback and input into proposed plans before final decisions are made- In the context of Nepal LAPA is being formulated by using its seven step cyclic	3



PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
		process, where communities have equal rights to put their views and ideas.	
<b>B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	Monitoring results are made available to nongovernmental stakeholders- limited involvement of CSOs in the process	1
	2. Adaptation funding is made available through a transparent process of allocation	Allocation of all adaptation monies for various uses is made known, with little information on how it has been decided- The information are available to the public only after the decision made by concern authority	2
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	Information of expenditure of all adaptation monies can be obtained with some effort	2
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	Civil society has opportunity to propose measures to mitigate negative impacts of proposed actions	3
	5. A secure mechanism for expressing grievances and seeking redress is available	The right to express grievances is publicised and promoted by providing secure channels to do so	2
<b>From principle G</b>	G4. Climate information is made accessible to enable adaptive decision making by all stakeholders	Climate information is publicised in a single format for all users	2

1. BASIC INFORMATION
Country: <b>Sri Lanka</b>
Name of Network: Climate Action Network – South Asia (CANSA-SL), hosted by Janathakshan
Contact person / e-mail: Navam Niles [navam.niles@gmail.com]
Other relevant information: Representing Janathakshan gte.ltd

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities as well as in implementation and monitoring	As mentioned above, the NAP's institutional structure is designed to involve CSOs as part of the National Steering Committee, the Sectoral Climate Cells, The National Working Group, and the CSO forum. This was not rejected in the NAP readiness report. The CSO forum itself has not been formally established.	2
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	The NAP's formal mechanism identifies local Community Based Organisations (CBOs) as part of the monitoring and evaluation mechanism. The NAP also calls for explicit consultation with regards to raising awareness and identifying vulnerabilities; this is envisioned as part of an outreach programme with CSOs.  The CSO forum itself has not been formally established. Information on the other mechanisms is unavailable.	1
	3. Plans and policies are publicised in ways that local people can understand and engage with	Searches for the NAP in Sinhala and Tamil did not result in any findings. Translations have been done/ and some are being done at the moment.	1

<b>From principle G</b>	D1. Communities affected by climate change participate in defining adaptation options and priorities	See coproduction above – where the government works together with IGOs (e.g. UNDP) and other CSOs to secure adaptation outcomes, community views are taken into consideration. The NAP itself makes room for these views through the CSO forum, and the Regional Climate Cells, which are supposed to represent views of local communities.	1.5
<b>B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	The NAP has not yet reached the “goal-achieving stage”, where such an institution would be necessary. Currently, such an institution does not exist. However, there are other adaptation projects which are implemented in Sri Lanka where CSOs have a certain amount of access to how the financing is allocated.	1
	2. Adaptation funding is made available through a transparent process of allocation	Limited information to make this determination. Public website of the ministry does not contain such information. However, at events where questioned on funding allocations by the Ministry for different adaptation actions, the Ministry has provided information on the amounts allocated for different project implementation.	1
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	Limited information to make this determination. Public website of the ministry does not contain such information. When at different events of the Ministry, the Ministry has provided statements on projects related to adaptation existing in the country, and how much in general terms is allocated for the implementation of them.	1
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	N/A – In this context there are no clear mechanisms established in the NAP or publicly available. This excludes project related mechanisms that entail due diligence.	
	5. A secure mechanism for expressing grievances and seeking redress is available	N/A – Standard contact options require names and email addresses.	

<b>From principle G</b>	G4. Climate information is made accessible to enable adaptive decision making by all stakeholders	The NAP cites multiple instruments for making information accessible, which include a “common repository of scientific awareness materials on climate change adaptation”	1.5
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## 7. BASIC INFORMATION

Country: Kenya

Name of Network: PACJA

Contact person / e-mail: Obed Koringo, koringo@pacja.org

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PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities as well as in implementation and monitoring	The Kenya NAP was prepared through an extensive consultation process. The consultations cut across stakeholders from the Government, and non-state-actors like civil society, academia and the private sector; at both national and county levels.	2
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	During the NAP formulation process, there was wide consultation with all the stakeholders including communities and indigenous people. Indigenous people organizations were also involved in the process	2
	3. Plans and policies are publicised in ways that local people can understand and engage with	The final NAP has since been published only in English language and has been widely disseminated	2
<b>From principle D</b>	D1. Communities affected by climate change participate in defining adaptation options and priorities	During the formulation of NAPS, there was extensive public participation and consultation where communities had a chance to proposed adaptation priorities. Counties are required to develop their own county specific adaptation plans and	3

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
		community consultation is one of the key requirements when developing the County Integrated Development plans	
<b>B. Public funds for adaptation are utilized efficiently and managed transparently and with integrity</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	The National Climate Change Council is responsible for approving the National Climate Change Action Plan and provides guidance on the utilization of the climate change fund. The Council is chaired by the president and has members from the CSOs, Private Sector, government and academia	3
	2. Adaptation funding is made available through a transparent process of allocation	The Climate Change Act provides for the establishment of a climate change fund that will be administered by the National Treasury. The National Environment and Management Authority is the NIE for the adaptation fund which is administered in a transparent manner. All funds are allocated through a published criteria and meet agreed priorities	3
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	Information on how all adaptation fund has been spent can be obtained but this requires some effort	2
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	Assessment of potential social and environmental impacts of adaptation initiatives are made public	2
	5. A secure mechanism for expressing grievances and seeking redress is available	Formal and informal channels for complaints exist, such as suggestion boxes and email but no not provide protection for those who choose to use them	1
<b>From principle G</b>	4. Climate information is made accessible to enable adaptive decision making by all stakeholders	The Kenya Meteorological department is involved in producing climate reports including seasonal forecasts targeted to the needs of different stakeholders	3

## 8. BASIC INFORMATION ON PREPARATION OF THE REPORT

Country: **Malawi**

Name of Network: Civil Society Network on Climate Change (CISONECC)

Contact person / e-mail: Julius Ng'oma, julius@cisoneccmw.org

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>A. The formulation, implementation and monitoring is participatory and inclusive</b>	1. Multiple stakeholders (such as, but not limited to civil society, sub-national governments, research institutes, academia, private sector, and indigenous peoples) participate in defining options and priorities	Mechanisms for stakeholder consultation are defined in general terms in various policy instruments but there are no mechanisms for various stakeholders to define options and priorities in the context of climate change adaptation planning	1
	2. The knowledge and experience of local communities and indigenous peoples is incorporated	Some adaptation policies and plans for example NAPA acknowledges the importance of local knowledge. However, most of the policies do not articulate specific ways in which indigenous knowledge can be harnessed and utilized.	2
	3. Plans and policies are publicised in ways that local people can understand and engage with	Efforts have been made to ensure that policies and plans are not only for an English audience and also finds themselves only in technical and political circles. The recently developed climate change and disaster risk management policies have been summarised and translated into vernacular languages. The trend will continue with the other policy documents to be developed.	2
<b>From principle D</b>	D1. Communities affected by climate change participate in defining adaptation options and priorities	Some adaptation policies and plans acknowledges the importance of involving local communities affected by climate change in defining adaptation options. However, there is limited involvement of the affected communities in developing plans for addressing climate related challenges.	1
<b>B. Public funds for adaptation are utilized efficiently and managed</b>	1. The implementation and financing of plans is periodically monitored by a body on which civil society is represented	There is no body which is involved specifically in monitoring plans. The National Technical Committee on Climate Change (NTCCC) through the adaptation sub-committee provides an overall oversight of the implementation of the adaptation plans and civil society are represented.	1

PRINCIPLE	CRITERIA	STATUS / ASSESSMENT	RATING 0 - 3
<b>transparently and with integrity</b>	2. Adaptation funding is made available through a transparent process of allocation	Controlled or regulated information on funding and support is received from government	1
	3. There is full and free access to information on how adaptation funds are being spent (finances and processes)	Not everyone can access the information. Obtaining information is restricted.	2
	4. There is a mechanism in place to safeguard against initiatives that might have negative impacts	The Environmental and Social Impact Assessment (ESIA) is a requirement by law but the practice/implementation is not properly done. Consultants to conduct the work are rarely made public	1
	5. A secure mechanism for expressing grievances and seeking redress is available	Mechanisms do exist in the form of law enforcement agencies and decentralization structures of government. However the procedure of redress for possible adaptation failure is not explicitly documented in adaptation planning documents. As such, existing mechanisms cannot easily be considered as mechanism for redress in the absence of clear guidance.	2
<b>From principle G</b>	4. Climate information is made accessible to enable adaptive decision making by all stakeholders	Climate information is presented on a national scale in a single format (generic) which presents challenges for adaptation decision making. The information is also not readily accessible to all. However, efforts are being made for the country to have district specific climate information. Accuracy and timeliness of provision of this information is still a challenge	1