This policy brief is based on a comprehensive study¹ on linkages between NAP and NDC, which explores benefits, opportunities and challenges of using the NAP process to implement NDC adaptation goals and to inform the adaptation content of future revisions. It argues that linking the NAP process and NDCs can accelerate enhanced adaptation action. Guiding questions are provided for countries considering use of the NAP process in this way, as well as key messages for policy-makers. The document builds on previous policy briefs on (I)NDC adaptation components and NAP by drawing upon information from a further assessment of (I)NDCs² as well as interviews with national adaptation policy-makers and experts from international organisations¹.

¹ The Role of the NAP Process in Translating NDC Adaptation Goals into Action: Linking National Adaptation Plan Processes and Nationally Determined Contributions.
² The term (I)NDC is used in reference to both intended nationally determined contributions (INDCs), and the first and future nationally determined contributions (NDCs).

The Role of the NAP Process in Translating NDC Adaptation Goals into Action

With the adoption of the 2030 Agenda for Sustainable Development and the Paris Agreement in 2015, adaptation is now firmly anchored in the international agenda. In the lead up to the 21st Conference of the Parties (COP21) of the United Nations Framework Convention on Climate Change (UNFCCC) in Paris, Parties to the Convention agreed to submit intended nationally determined contributions (INDCs) to outline their commitments to reducing greenhouse gas emissions, with the option to also include an adaptation component. Article 7.9 of the Paris Agreement suggests that all Parties shall, as appropriate, engage in the formulation and implementation of national adaptation planning processes, such as the national adaptation plan (NAP) process. Article 7.11 also identifies that Parties should periodically submit an adaptation communication to the UNFCCC, as part of or in conjunction with other communications or documents such as a NAP, nationally determined contribution (NDC) and/or national communication.

The strong relationship between climate change and sustainable development is acknowledged by the Paris Agreement and clearly reflected in the Agenda 2030, whose Sustainable Development Goal number 13 focuses on building resilience to the impacts of climate change. Both the 2030 Agenda and the Paris Agreement need to be disaggregated into national strategies and integrated into national development plans and policies. It will be crucial to develop coherent approaches at the intersection between sustainable development, mitigation and adaptation which integrate the two agendas as well as national planning and strategy instruments such as NDCs and NAPs into coherent national development plans and policies for sustainable and climate-resilient development.
Most developing countries included an adaptation component in their (I)NDC

As of 27 April 2017, a total of 143 countries had ratified the Paris Agreement of which 137 had submitted INDCs to the UNFCCC, with 102 including an adaptation component. Most developing countries included an adaptation component in their (I)NDC (see Figure 1). A total of 39 NDC adaptation components mention the NAP process of which 23 note that it has commenced and 16 state that it will start by 2020 (see Figure 1). However, the UNFCCC report released in October 2016 on progress in the process to formulate and implement NAP indicates that many more countries, including over 80% of least developed countries (LDCs), have embarked on a NAP process.

Key messages for policy-makers

1. Linking the NAP process and NDCs can accelerate enhanced adaptation action. Many countries consider the NAP process as the backbone of national adaptation planning and action and consider it as beneficial to link formulation and implementation of NDC adaptation components with the NAP process to inform and reinforce each other.

2. (I)NDC adaptation components have raised the profile of adaptation to a comparable level to mitigation internationally and nationally, and created scope for (I)NDC adaptation goals and the NAP process to be mutually reinforcing.

3. Regardless of where countries may be in their NAP process and whether the (I)NDC includes an adaptation component, the NAP process can inform development of the NDC’s adaptation goals (‘what’ a country is seeking to achieve) as well as ‘how’ NDC adaptation goals are implemented.

4. Increasing high-level political buy-in from national governments is seen by international and national stakeholders as the biggest challenge to catalysing adaptation action – linking the NAP process to NDC implementation can increase political support internationally and domestically for the NAP process.

5. Linking the NAP process with the development of NDCs can support identification of adaptation-mitigation co-benefits and help to avoid mitigation actions that increase climate vulnerabilities or adaptation actions that inappropriately increase greenhouse gas emissions.

6. Establishing coherent governance structures at the national level can help to avoid duplication of efforts and make efficient use of limited resources through increased institutional coordination, stakeholder collaboration and joint capacity building and thereby facilitate a mutually supportive NAP process and development and implementation of NDC adaptation goals.

7. Linking the NAP process with NDC implementation facilitates the integration of adaptation into national budget cycles and could thereby help to encourage private sector investment and international finance.

8. Linkages between the NAP process and NDC development and implementation can help to streamline countries’ transparency frameworks, including the provision of countries’ adaptation communications.

9. Developing and implementing NDC adaptation goals through the NAP process could emphasise and reinforce their broader development context and thereby support delivery of SDGs.
Content and structure of (I)NDC adaptation components varies

- The extent to which (I)NDC adaptation components elaborate on planning of adaptation actions varies and reflects the lack of agreement on the content and purpose of (I)NDC adaptation components.
- Most of the (I)NDC adaptation goals refer to each respective country’s NAP process or other established adaptation plans and strategies.
- Most adaptation goals included in the (I)NDCs are qualitative and may relate closely to national development goals. However, they may not reflect the full extent of monitoring and evaluation as presented in the NAP document or other plans and strategies on which they are based.

- A number of (I)NDCs highlight adaptation and mitigation synergies and co-benefits.
- Most foreseen adaptation sectoral actions mentioned in the (I)NDCs do not fully address the main sectoral vulnerabilities the documents makes reference to.
- Approaches to coordinate (I)NDC development and the NAP process vary between countries. There are some cases where close coordination was achieved through the same ministry being responsible for coordinating work on both the (I)NDC and the NAP process. In other cases, the ministry responsible for development of the (I)NDC was also closely involved in committees associated with the NAP process or vice versa.

Figure 1: Distribution of countries that included an adaptation component and referred to the NAP process in their (I)NDC
Inclusion of adaptation components in (I)NDCs is widely perceived as beneficial

Interviews with national leaders on adaptation in six countries (Albania, Bangladesh, Jordan, Morocco, South Africa and Togo) and interviews with experts from international organisations (GIZ (Vanuatu), the United States Agency for International Development (USAID), United Nations Environment Programme (UN Environment) and the Food and Agriculture Organization of the United Nations (FAO)) indicated a common desire to link the preparation and implementation of NDC adaptation components with the NAP process to inform and reinforce each other, irrespective of the current extent of countries’ NDC adaptation components or the degree to which countries have progressed in the NAP process.

1. The profile of adaptation has been raised to a comparable level to mitigation with benefits nationally and internationally. Experts from international organisations noted that by including adaptation components in (I)NDCs, countries have increased recognition of the need for adaptation. At a national level, Jordan’s NDC will enable it to place greater emphasis on adaptation and Vanuatu’s (I)NDC has provided an opportunity to showcase its evidence-based approach for adapting to climate change.

2. (I)NDC adaptation components have highlighted co-benefits arising from adaptation, mitigation and development. Albania’s (I)NDC preparation created national awareness that climate-proofing mitigation activities is a necessity. In Bangladesh, in addition to prioritising adaptation activities that align with its economic growth objectives, the (I)NDC also prioritised adaptation activities with significant mitigation co-benefits.

3. The development of the adaptation component of (I) NDCs promoted communication and coordination on adaptation action nationally. The USAID noted that national awareness of the benefits of coordinating measures to address climate vulnerabilities has increased in their beneficiary countries as a result of the development of (I)NDCs. Improved coordination of national priorities has encouraged synergies between adaptation and mitigation. GIZ highlighted that until Vanuatu developed its (I)NDC, the country had not needed to draw together the big picture for adaptation, with stakeholders working in silos.

4. Inclusion of adaptation in INDCs has created scope for NDCs and the NAP process to be mutually reinforcing. According to the FAO, it will be important for LDCs to maintain the increased profile of adaptation through linking NDCs with NAPs. UN Environment states that next steps in implementing NDCs’ adaptation components should be to increase understanding of the NAP process and secure associated funding.
Linking the NAP process and NDCs can accelerate enhanced adaptation action

As described in Figure 2, possible linkages between a mutually supportive NAP process and NDC include implications for national climate change policy governance and coordination, national transparency frameworks and adaptation-related reporting to the UNFCCC. The NAP process with its common iterative approach as described in the technical guidelines developed by the Least Developed Countries Expert Group (LEG) can be tailored to specific national circumstances and also support the development and implementation of adaptation goals. Linking the NAP process to the formulation and implementation of an NDC adaptation component creates an opportunity to improve ministerial coordination on adaptation to create a unified governance structure. For enhanced adaptation implementation, this could ensure that groundwork for the NAP process (Element A) takes due account of the NDC goals and priorities, as well as any potential associated synergies and co-benefits of mitigation for adaptation. Similarly, it could mean that preparatory elements of the NAP process (Element B), most notably goals and priorities from the NAP document itself, could appropriately inform identification of the NDC adaptation component or revision thereof, as well as any potential associated synergies and co-benefits of adaptation for mitigation could also support a more strategic and effective approach to securing climate finance for both NDC implementation and the NAP process.

Harmonising governance structures and creating a mutually supportive NAP process and NDC could potentially enable streamlining of a country’s transparency framework, and efforts to prepare NDC updates, national communications and adaptation communications (e.g. which might be included in national communications or might be updates on the NAP process).

Figure 3: Countries’ starting points for linking the NAP process to their NDCs

<table>
<thead>
<tr>
<th>STATUS OF NDC ADAPTATION COMPONENT</th>
<th>STATUS OF NAP PROCESS</th>
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<tbody>
<tr>
<td>IN PLACE</td>
<td>ONGOING</td>
</tr>
<tr>
<td>1: NAP process ongoing &amp; NDC adaptaion component in place</td>
<td>NAP process can implement NDC adaptation goals (&quot;the what&quot;) through cross sectoral coordination of adaptation activities (&quot;the how&quot;). NAP process can be used to update NDC adaptation goals. Co-benefits between adaptation and mitigation actions can be identified and considered by the NAP process and included in NDC updates. Synergies possible in relation to governance and coordination, finance, and transparency by implementing and developing NDC adaptation goals through the NAP process.</td>
</tr>
<tr>
<td>3: NAP process ongoing &amp; NDC adaptation component to be developed</td>
<td>NAP process can be used to develop the NDC adaptation component. NAP process can be used to identify and consider co-benefits between adaptation and mitigation for inclusion in the NDC. Synergies possible in relation to governance and coordination, finance, and transparency by developing NDC adaptation goals through the NAP process.</td>
</tr>
<tr>
<td>5: NAP process ongoing &amp; NDC adaptation component not to be developed</td>
<td>Co-benefits between adaptation and mitigation actions can be identified and considered by the NAP process and included in NDC updates.</td>
</tr>
<tr>
<td>TO BE DEVELOPED</td>
<td>NOT TO BE DEVELOPED</td>
</tr>
<tr>
<td>2: NAP process not started &amp; NDC adaptation component in place</td>
<td>NDC adaptation goals can inform development of the NAP process. NDC governance and coordination framework may be able to support the NAP process. Financial sources available for the NAP process (e.g. GCF NAP readiness support) can be used to further advance the implementation of NDC adaptation components through the NAP process.</td>
</tr>
<tr>
<td>4: NAP process not started &amp; NDC adaptation component to be developed</td>
<td>NAP process can provide adaptation inputs for NDC adaptation component, NDC adaptation component can communicate adaptation goals from the NAP process. NAP process can be used to identify and consider co-benefits between adaptation and mitigation for inclusion in the NDC. NDC governance and transparency frameworks may be able to support the NAP process.</td>
</tr>
<tr>
<td>6: NAP process not started &amp; NDC adaptation component not to be developed</td>
<td>In cases where the NAP process will be initiated adaptation mitigation co-benefits can be identified and included in the future iterations of the NDC.</td>
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Guiding countries in their endeavour to link formulation and delivery of NDC adaptation components with the NAP process

Regardless of where countries may be in their NAP process and whether the (I)NDC includes an adaptation component, countries can increase linkages at any time, as appropriate, to enhance implementation and development of the NDC’s adaptation goals through the NAP process.

Figure 3 has been developed as a tool to help countries understand their current situation and indicate possible starting points for linking the NAP process and NDCs. The arrows indicate the possible directions a country may take to advance towards the realisation of a mutually supportive NAP process and NDC (as represented by increasingly darker shades of blue).

Table 1: Opportunities, challenges and guiding questions for the implementation and development of NDC adaptation goals through the NAP process

<table>
<thead>
<tr>
<th>KEY OPPORTUNITIES AND CHALLENGES</th>
<th>GUIDING QUESTIONS</th>
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<tbody>
<tr>
<td>EXPERTISE AND GUIDANCE</td>
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<tr>
<td>Expertise and guidance developed for the NAP process and the NAP process itself can be very valuable for the implementation and development of NDC adaptation goals.</td>
<td>If the country is well advanced in the NAP process, how can the first results and experiences made in this process be evaluated and applied to advance the implementation of the adaptation objectives of the NDC?</td>
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<tr>
<td>In general, how can the guidance material of the NAP process, such as the NAP technical guidelines and complementary material (such as The SNAP Stocktaking for National Adaptation Planning tool1, GIZ’s Vulnerability Sourcebook2, NAP Align3 4, Guidebook for linking national and sub-national adaptation processes5; the Climate Finance Reflection Tool CliF Reflect6, Guidebook on developing national adaptation monitoring and evaluation systems7) be used to advance the development and implementation of adaptation objectives of the NDC?</td>
<td></td>
</tr>
<tr>
<td>GOVERNANCE AND COORDINATION</td>
<td></td>
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<tr>
<td>Implementing or developing NDC adaptation goals through the NAP process can promote policy coherence and clarity over national priorities by increasing institutional coordination and stakeholder collaboration. It can also avoid duplication of efforts and thereby ensure the most efficient use of limited capacities and resources. However, it can be challenging to achieve collaboration and coordination due to the potentially competing priorities of different sectors, institutions and stakeholders and issues related to political ownership and commitment.</td>
<td>What are the underlying reasons, in case the country is well advanced in the NAP process, for the NDC adaptation goals not to be reflective of those in the NAP document? Is there a political will to align both documents? Is there a need to revise the NAP document or the NDC or both? What information exchange processes are needed between the NAP process and NDC implementation to support timely updates of both the NAP and NDC and take advantage of synergies?</td>
</tr>
<tr>
<td>What scope is there to align governance and coordination processes for the NAP process and NDC implementation, promote policy coherence and clarity over national priorities and thereby avoid duplication of efforts? Which governance and coordination processes e.g. in relation to institutional coordination and stakeholder collaboration can be aligned?</td>
<td></td>
</tr>
<tr>
<td>How can resources (specific technical, capacity building or financial) be used most efficiently to advance implementation of adaptation actions? Can the NAP process serve as the vehicle to efficiently advance the implementation of the NDC adaptation component?</td>
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</table>
Implementing and developing NDC adaptation goals through the NAP process has the potential to mobilise greater finance for adaptation. On the one hand it could make future NDC-related funding streams accessible for NAP implementation. On the other hand it could also enable the use of funding available for the NAP process for the implementation of adaptation goals expressed in the NDC. Furthermore, linking the NAP process with NDC implementation and thereby facilitating integration of adaptation into national budget cycles could help to encourage private sector investment and international finance.

If the country is well advanced in the NAP process, which sources of finance identified therein, i.e. through the development of a financing strategy, can be used to implement the NDC’s adaptation goals and which additional sources of NDC-related finance can be leveraged to implement the NDC’s adaptation goals via the NAP process?

If the country is not yet very advanced in the NAP process, how can financial resources accessible for the development of the NAP process (i.e. GCF NAP readiness support) contribute to refine and operationalize the implementation of adaptation goals of the NDC?

Implementing and developing NDC goals through the NAP process can avoid duplication of efforts and support improved and coherent national monitoring, measurement and reporting systems. However, in the beginning it might seem that establishing a harmonized and standardised monitoring and reporting system requires additional resources.

What information exchange processes are needed between the NAP process and NDC implementation to support timely updates of both the NAP and NDC and take advantage of synergies?

How can linkages between the NAP process and development and implementation of NDC promote the development of a coherent standardized monitoring, evaluation and reporting system?

If the country is well advanced in the NAP process, how can the M&E framework set therein be applied for the monitoring and evaluation of adaptation goals expressed in the NDC?
Endnotes

x. The role of the NAP process in translating NDC Adaptation goals into action: Linking national adaptation plan processes and nationally determined contributions (forth.)

xi. Paris Agreement, Art. 7 para 7 and 9


xiii. NAP Global Network, Using NDCs and NAPs to Advance Climate-Resilient Development

xiv. The role of the NAP process in translating NDC Adaptation goals into action: Linking national adaptation plan processes and nationally determined contributions (forth.)

xv. NAP Global Network, Using NDCs and NAPs to Advance Climate-Resilient Development

xvi. SNAP: Stocktaking for National Adaptation Planning: Assessing capacity for implementing NDCs

xvii. The Vulnerability Sourcebook. Concept and guidelines for standardised vulnerability assessments

xviii. Aligning National Adaptation Plan (NAP) processes to development and budget planning

xix. NAP Align. Recommendations for aligning national adaptation plan processes with development and budget planning. Supplementary material to the NAP technical guidelines

xx. NAP Global Network, Vertical Integration in National Adaptation Plan (NAP) Processes: A guidance note for linking national and sub-national adaptation processes

xxi. Assessing needs for climate finance readiness. The Climate Finance Reflection Tool – CliF Reflect

xxii. Developing national adaptation monitoring and evaluation systems: A guidebook

About the GIZ Climate Policy Support Programme

GIZ Climate Policy Support Programme aims at developing and mainstreaming innovative approaches to tackle the challenges of climate change in the context of German Development Cooperation. On behalf of the Federal Ministry for Economic Cooperation and Development (BMZ), it supports developing countries in their efforts to mitigate climate change and to adapt efficiently to its impacts. Through conceptual and practical activities, the Climate Policy Support Programme actively contributes to the implementation of the Paris Agreement and the UN Sustainable Development Goals.