

# A Review of GCF Adaptation Planning Guidance

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## Executive Summary

The Green Climate Fund (GCF) provides countries with up to \$3 million in funding for adaptation planning and implementation through its Readiness and Preparatory Support Programme (Readiness Programme). The Programme is critical in enabling countries to strengthen adaptation planning in four areas: 1) improving governance and institutional arrangements, 2) designing adaptation solutions that incorporate scientific and economic evidence, 3) catalyzing private sector engagement, and 4) developing financing strategies.

In August 2019, GCF procured WRI's technical assistance to conduct a review of the adaptation planning window of the Readiness Programme and suggest ways to strengthen its guidance and knowledge management. WRI evaluated the Programme by thoroughly reviewing its existing guidance and knowledge management systems, as well as the first 35 proposals that had been approved through the Programme. WRI also interviewed representatives from eight countries whose proposals had been approved and experts from other organizations involved in adaptation planning globally, and also reviewed related GCF documents and guidance.

This report summarizes key findings, proposes measures to further strengthen the adaptation planning window of the Readiness Programme, and suggests technical guidance descriptions and good practice examples for the 16 indicative outputs GCF includes in the adaptation planning window of its Readiness Programme.

### Highlights

- Interviews with countries and GCF's peer organizations in adaptation planning support found that GCF fills an important role in the adaptation planning landscape in that it is the only organization that provides significant financial support for adaptation planning.
- Peer organizations also lauded the organization's support for the ongoing nature of adaptation planning *processes*, rather than merely generating adaptation *plans*; its robust, open and multi-faceted communication efforts; the responsiveness and attention to detail of its staff; and its value as a convener of countries and organizations engaged in adaptation planning processes.
- During the proposal development process, countries appreciated that GCF's feedback resulted in well-designed, ready-to-implement proposals, as well as strong technical support from the GCF Secretariat and its regional advisors, newsletters and events.
- Interviewees from eight of the early countries to submit proposals also noted challenges with proposal development, including uncoordinated and sometimes contradictory feedback from various GCF divisions and offices; long timelines for receiving feedback, resulting in uncertainty about when proposals would be approved; and that the process is time- and resource-intensive.
- The GCF Secretariat has recognized such feedback by countries and delivery partners and has deployed several measures to address these issues. These include developing appraisal criteria and technical guidance to advise the development of proposals, providing hands-on technical support to countries in developing and improving the quality of the proposals, organizing technical exchange sessions and proposal writing workshops (i.e. "writeshops") at

regional/global events, and strengthening the coordination of inter-divisional review process in the Secretariat to ensure consistency and coherence of feedback.

- Following the above measures, the efficiency, transparency and consistency of the review process have been significantly improved. For example, according to the GCF data, the average turnaround time for a first submission, which is normally the most comprehensive review, has been shortened over 50% compared to that of 2018.
- WRI analysis of the first 35 approved proposals revealed that countries do not uniformly choose among the activity areas represented by the 16 outputs included in the Readiness Programme guidance. (Some of these proposals were prepared and approved before the 16 outputs were formally adopted by the Programme.) Countries are free to choose which of the outputs will best meet their needs. The analysis revealed which outputs were well-represented and which ones countries rarely included:
  - While 89% of proposals included Output 3.1.1: establishing or strengthening inter and intra-institutional coordination and decision-making mechanisms, and 86% included Output 3.4.1: developing financing strategies for adaptation priorities, only 9% included Output 3.3.3: adaptation planning for climate resilience of businesses and supply chains and only 14% included Output 3.4.4, establishing systems for tracking adaptation finance.
  - GCF can encourage greater inclusion of these underrepresented outputs while recognizing and respecting the specific needs by countries, and provide more detailed guidance and good practice examples to help countries improve their understanding of these outputs.
- An additional challenge reflected by the national representatives with the adaptation planning support window of the Readiness Programme is that it employs different sources of adaptation planning-related guidance for various elements of the proposal development process (including for the Theory of Change, indicative activities under Objective 3 on adaptation, appraisal criteria and good practice examples). Alignment between this guidance and adaptation planning outcomes and outputs is not always clear. GCF could reduce this ambiguity by creating a “roadmap” that spells out its intent related to the adaptation planning outputs. A “roadmap” of this kind would include explicit language detailing how such guidance could be used to guide the development of adaptation planning proposals. This could include, for example, modifying the appraisal criteria and good practice examples to more directly reflect and incorporate the language of the adaptation planning outputs.
- Central to strengthening the guidance is the incorporation of the 16 adaptation planning outputs into Readiness Programme documents, including the Readiness and Preparatory Support Guidebook and related materials used in training and outreach. Elaborating clear definitions for each of the outputs and providing relevant good practice examples, as proposed in Appendix C of this report, along with additional technical assistance could support the development of strong proposals and assist countries in implementation.
- Countries would appreciate additional facilitation of knowledge exchange and knowledge sharing through, for example, workshops at NAP Expos, regional meetings and an online platform through which they could more easily access guidance and examples of successful proposals that include similar issues.

- A robust knowledge sharing platform (KSP) can strengthen GCF's support for adaptation planning processes by capturing and enhancing GCF's adaptation planning work to meet user information needs. A platform of this kind would inform users of GCF-supported adaptation planning with targeted information, resources, and peer engagement regarding proposal development and implementation guidance. A KSP could serve to increase adaptation planning efficacy and highlight the progress and successes in adaptation planning supported by GCF.

## Section 1: Introduction and objectives

One need only turn on the television or scroll to their favorite online news source to see undeniable evidence that climate change impacts are increasing every day. So too is the importance of climate change adaptation, which the [Intergovernmental Panel on Climate Change](#) (IPCC 2007) defines as “the process of adjustment to actual or expected climate and its effects...to moderate or avoid harm or exploit beneficial opportunities.”

To speed up the pace of adaptation to better match the rate at which climate change impacts are intensifying, the Global Commission on Adaptation found in its *Adapt Now* report (2019) that a revolution in finance is needed to quickly mobilize the resources needed to accelerate adaptation.

The Green Climate Fund (GCF) has been central to this revolution since it was established in 2010 – and adaptation is moving ever higher on its agenda. Effective adaptation planning is key to meeting the climate change challenge, and in 2010, the Conference of the Parties (COP) to the UN Framework Convention on Climate Change (UNFCCC) established the national adaptation plan (NAP) process. The UNFCCC’s guidance establishes that NAPs are a means of identifying medium- and long-term adaptation needs and developing strategies to address those needs; and that to be effective, NAPs and other adaptation planning processes should be continuous, progressive and iterative processes that follow country-driven, gender-sensitive, participatory and fully transparent approaches.

Recognizing that initiating and sustaining such processes requires significant investment, the COP in 2015 requested the GCF to expedite support for the formulation and implementation of NAPs and related adaptation planning processes. The Readiness and Preparatory Support Programme (Readiness Programme) provides countries with access to the financial resources they need to create comprehensive and well-informed adaptation plans and start to implement them. Through the Readiness Programme, GCF guides countries in strengthening adaptation planning governance and institutional arrangements, designing adaptation solutions that incorporate scientific and economic evidence, promoting private sector engagement, and developing financing strategies.

WRI and much of the global adaptation community view GCF’s Readiness Programme and the adaptation planning efforts it supports as essential steps for countries seeking to build resilience at the speed and scale that mounting climate impacts demand.

GCF has recognized that the programme can best be improved through rigorous review and analysis. In August 2019, GCF requested WRI’s technical assistance to further strengthen its guidance and knowledge management for the adaptation planning elements of the Readiness Programme. This report summarizes the results of that engagement.

The report details the current status of GCF’s role in providing adaptation planning support, drawing on an analysis of its first tranche of approved proposals, as well as interviews with representatives of countries receiving support and peer institutions. It uncovers gaps and opportunities for strengthening guidance for the development of adaptation planning proposals, and recommends specific content and resources for doing so. Finally, it proposes a structure and realistic design for a knowledge management platform to further support and guide adaptation planning processes.

## Section 2: GCF’s current role in providing adaptation planning support

This section provides an overview of GCF’s role in providing adaptation planning support. It begins by sharing results of WRI’s analysis of the content of the first 35 adaptation planning proposals supported by the Readiness Programme. It then outlines key themes from interviews with recipients of GCF’s adaptation planning support and peer institutions, including a summary of GCF’s strengths. It closes with inputs received from the GCF Secretariat on the review and approval process of adaptation planning proposals and how this has improved throughout its inception.

### 2.1 Results of proposal analysis

GCF’s Readiness Programme is mandated by the Governing Instrument of the GCF to provide resources for strengthening institutional capacities, governance mechanisms, and planning and programming frameworks to identify a transformational long-term climate action agenda for developing countries.

Among the five objectives outlined in the Readiness Programme’s 2019-2021 strategy is **Objective 3: strengthened adaptation planning**. Under that objective, the Readiness Programme has developed four outcomes for adaptation planning, and 16 corresponding indicative outputs (see Table 1).

TABLE 1: Outcomes and Indicative Outputs associated with Readiness Programme Objective 3:

Outcome 3.1	Outcome 3.2	Outcome 3.3	Outcome 3.4
<b>Adaptation planning governance and institutional coordination strengthened</b>	<b>Evidence basis produced to design adaptation solutions for maximum impact</b>	<b>Private sector engagement in adaptation catalyzed</b>	<b>Adaptation finance increased</b>
<ol style="list-style-type: none"> <li>1. Inter- and intra-institutional coordination and decision-making mechanisms</li> <li>2. Stakeholder engagement frameworks and agreements</li> <li>3. Adaptation impact monitoring, evaluation and learning systems</li> <li>4. National, sub-national and/or sectoral plans</li> </ol>	<ol style="list-style-type: none"> <li>1. Climate change risk, vulnerability and hazard studies</li> <li>2. Consolidation and sharing of climate studies</li> <li>3. Communication to relevant public, private and civil society decision makers and other stakeholders</li> <li>4. Policy and Regulatory Frameworks</li> </ol>	<ol style="list-style-type: none"> <li>1. Policy guidelines and regulations to remove barriers and incentivise adaptation investment, and technical assistance to develop financial products for private investment.</li> <li>2. Private sector actors engaged in national, sectoral and/or sub-national adaptation planning</li> <li>3. Adaptation planning for climate resilience of individual businesses and supply chains</li> <li>4. Marketplaces and other means of matching private financiers</li> </ol>	<ol style="list-style-type: none"> <li>1. Financing strategies for specific adaptation priorities</li> <li>2. Project and programme concept notes</li> <li>3. Systems for prioritizing adaptation project ideas</li> <li>4. Systems for tracking adaptation finance</li> </ol>

WRI analyzed the content of the first 35 GCF-approved adaptation planning proposals (submitted between 2016 and 2018 approved from April 2017 through November 2019) to identify how their content (objectives and activities) aligned with the four outcomes and associated outputs. (It should be noted that the list of 16 indicative outputs was developed during this period of time, and were first published in a GCF board document in February 2019, so were not available to guide the development of proposals in the early stage of the programme.) As summarized in Figure 1, the analysis found that proposals most frequently included activities aligned with outputs under Outcome 3.1 (adaptation planning governance and institutional coordination strengthened), followed closely by those associated with Outcome 3.4 (adaptation finance increased).

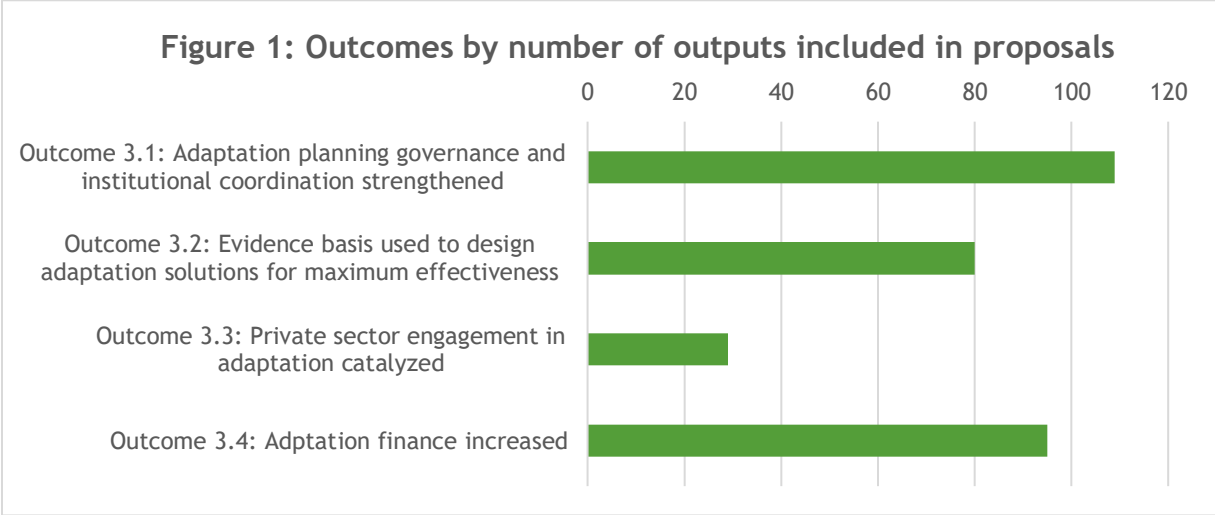


Figure 2 dives deeper into which outputs were selected by countries to include in their adaptation planning proposals. It demonstrates that almost all proposals included activities related to the following outputs:

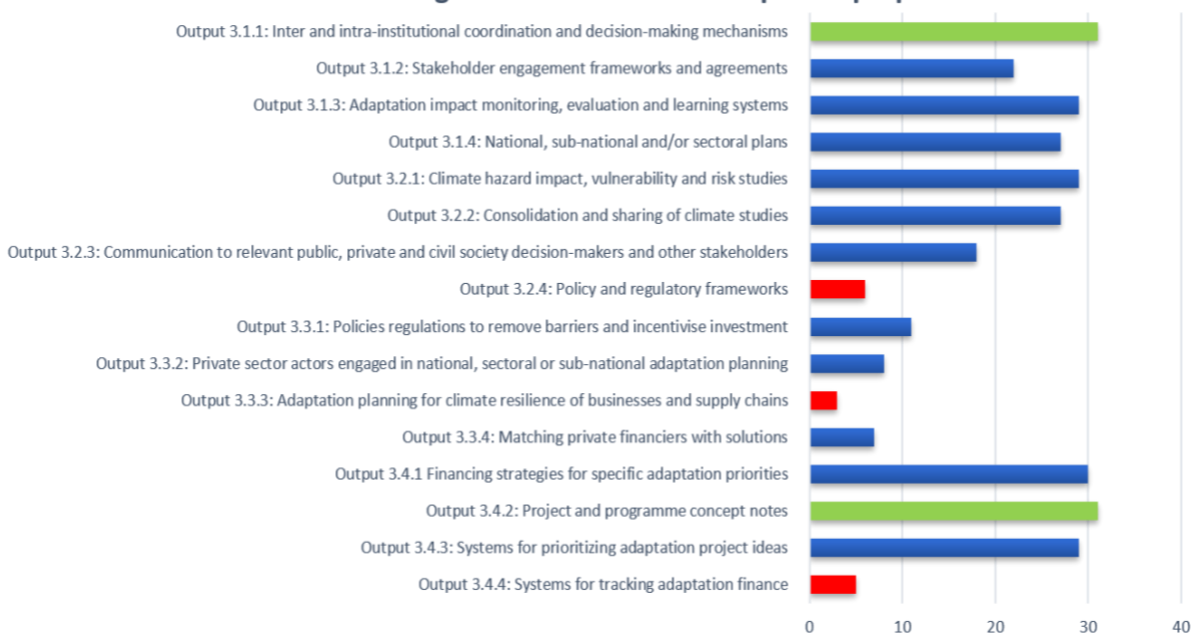
- 3.1.1: establishing or strengthening inter and intra-institutional coordination and decision-making mechanisms (89%);
- 3.4.2: developing project or programme concept notes (89%), and 3.4.1: developing financing strategies for adaptation priorities (86%).

Among the least commonly-cited outputs were:

- 3.2.4: policy and regulatory frameworks (17%)
- 3.3.3: adaptation planning for climate resilience of businesses and supply chains (9%) and
- 3.4.4: systems for tracking adaptation finance (14%).



**Figure 2: Distribution of outputs in proposals**



As this preliminary analysis indicates, the GCF’s adaptation planning support has succeeded in encouraging many countries to pursue a vital subset of activities that are central to establishing robust adaptation planning processes. The underrepresentation of certain output areas (such as 3.3.3 and 3.4.4, as noted above) likely stems, in large part, from the fact that those themes were not represented in the list of indicative outputs available in earlier versions of the Readiness and Preparatory Support Programme Guidebook. In section 3, we offer recommendations for strengthening GCF guidance to support and encourage countries to further expand proposed activities.

## 2.2 Key findings from country interviews

WRI conducted eight interviews with eight representatives of countries and delivery partners receiving support from the Readiness Programme for adaptation planning. These interviews revealed feedback for GCF in the areas of 1) benefits and challenges in proposal development, 2) additional facilitation of knowledge exchange, and 3) interest in additional guidance.

### 2.2.1 Benefits and challenges of proposal development

The interviews uncovered benefits and challenges that countries encountered in the adaptation planning proposal development process.

On the plus side, respondents noted that while the proposal development process could be challenging, the final proposal resulting from GCF feedback was well-designed and ready to implement. Interviewees highlighted the value of GCF support and guidance including technical support from the GCF Secretariat and its regional advisors, newsletters and events.

However, interviewees also noted a series of challenges:

- Proposal feedback from multiple GCF divisions and offices (e.g., accounts, legal, technical, etc.) was not well-coordinated and sometimes included contradicting feedback from successive reviewers;
- Long waits to receive feedback on proposals;
- Uncertainty about when proposals would be approved; and
- Costly proposal development in terms of money and time.

### ***2.2.2 Additional facilitation of knowledge exchange/knowledge sharing***

Country interviews demonstrated a desire for additional opportunities to share experiences among peer countries and further facilitation of knowledge exchange on adaptation planning by the Readiness Programme. They expressed interest in knowledge exchange related to a range of themes including how to better access and use climate data, conduct risk assessments, identify climate finance, move from planning to implementation, and evaluate and choose sectoral adaptation options.

Respondents noted that it would be useful to have easier access to the wealth of information and experience generated by countries implementing adaptation planning through the Readiness Programme and that countries at different stages of the process could learn from others' experiences to improve their work. For some countries, particularly smaller ones, there was also an interest in further facilitation of knowledge sharing within regions as well as regional cooperation to create shared data sets for climate projections and risk modeling, which could avoid duplication of effort and save money. Specific ideas included:

- Create a peer learning network among countries implementing adaptation planning through Readiness Programme support;
- House a knowledge exchange platform so that countries in different stages of implementation can learn from others' experience;
- Host more in-person workshops (such as the 2018 Philippines climate rationale workshop or NAP Expo-type events);
- Host a knowledge support platform with climate data, vulnerability assessments, and adaptation options that countries could use to complement their own work; and
- Facilitate knowledge sharing among country government officials and others involved in adaptation plan implementation (e.g., delivery partners), such as webinars or the GCF Structured Dialogue events, but targeted towards countries implementing adaptation planning efforts with Readiness Programme support.

### ***2.2.3 Additional guidance***

Interview respondents expressed an interest in additional guidance from GCF about its expectations for adaptation planning proposals including more specific examples of good practices. Respondents recognize that there are many adaptation resources available but noted that some are difficult to find or overly technical. They mentioned that webinars devoted to NAP programming, adaptation activity guidelines along with concrete examples of adaptation options, direct communication with GCF, and the

type of knowledge exchange mentioned above would support learning and Readiness Programme implementation.

#### 2.2.3.1 Private sector

Interviewees highlighted an interest in further guidance about private sector engagement and in particular information about developing concept notes for the private sector, the business case for private sector engagement, and how to best link the private sector to opportunities in adaptation. Respondents also noted challenges related to developing a business case for private sector engagement, including identifying incentives for the private sector to invest in adaptation, demonstrating efficiency, and identifying narrower, target-specific adaptation options.

#### 2.2.3.2 Concept notes and project pipelines

Respondents noted that a lack of knowledge (including understanding of the climate rationale) and resources remain key barriers to developing project pipelines. With this recognition, FAO, for example, is supporting countries and advising NDAs to use Readiness funds to develop solid climate rationale that will lead to the development of concept notes and full proposals. Additional comments included challenges with understanding and meeting the GCF requirements for project pipeline development. Interviewees also commented that identifying the capacity and partners (again, including with regards to developing a climate rationale) to develop proposals was challenging.

#### 2.2.3.3 Vulnerability assessment

Interview respondents clearly recognized the key role of climate risk and vulnerability assessment in adaptation planning. They expressed an interest in better templates and clearer indicators that would strengthen in-depth analysis to guide adaptation planning and create more uniform assessments that would allow countries to more easily compare and aggregate data across countries.

#### 2.2.3.4 Identifying and recruiting experts

A few interview respondents noted that identifying and recruiting experts with appropriate knowledge for work on proposal development and implementation can be challenging. One suggestion was that GCF could house a database of experts that countries could use.

While the themes above demonstrate the calls for additional guidance, respondents also expressed appreciation of working with GCF and the GCF Readiness Guidebook. Interviewees described that while Readiness Programme proposal development could be time consuming, GCF staff worked with them to create a final proposal that was well designed and ready to implement. They further noted that GCF engagement and communications (regional meetings, webinars, newsletters, etc.) during project implementation provided valuable information and insights about various strategies and approaches.

Full details of country interviews can be found in Appendix A.

### **2.3 GCF's strengths in providing adaptation planning support**

This section summarizes perceptions of GCF's strengths in the context of the adaptation planning support landscape, based on insights shared by representatives of country governments and delivery partners receiving support from the Readiness Programme for adaptation planning, as well as representatives of three global institutions that have been at the forefront of providing support and

guidance for national adaptation planning processes: the UNFCCC Least Developed Countries Expert Group (LEG), the NAP Global Support Programme (NAP-GSP), and the NAP Global Network (NAP-GN).

As mentioned above, full details of countries interviews can be found in Appendix A. Full details of institutional interviews, including an overview of key contributions and institutional priorities for adaptation planning, can be found in Appendix B.

### ***2.3.1 Support for adaptation planning processes, not just adaptation plans***

There is broad recognition that adaptation planning is about much more than simply producing a NAP; that effective adaptation planning is a *process* that requires sustained investment in capacity building, institutional strengthening, the development of financing strategies, and iterative management. Those interviewed recognized that GCF is filling a vital need by providing widely-accessible, long-term, large-scale adaptation planning support. Without such support, much of the critical work of planning would simply not get done.

### ***2.3.2 Robust and open two-way communication efforts***

The LEG appreciates its good two-way communication and information flow with GCF, including its willingness to share information on lessons learned and challenges. It finds helpful the way GCF communications highlight some of the positive trends it is seeing in proposals, as this encourages countries to ramp up their efforts. Also, the examples of good practices are seen as helpful by countries developing and implementing proposals.

NAP-GN noted that GCF is seen as present and accessible: when GCF representatives are invited to a meeting or workshop, they attend and engage in a meaningful way. Similarly, the perception is that GCF Secretariat staff do a good job of making sure their support is complementary in the NAP landscape, and that it brings together the various support actors. In terms of coordination with other NAP actors, NAP-GN contends that GCF seems to be doing a really good job.

### ***2.3.3 Responsiveness and attention to detail***

Appreciation for GCF's responsiveness and attention to detail was highlighted by country representatives in interviews. They noted that while the proposal development process can be challenging, final proposals resulting from GCF feedback are well-designed and ready to implement. Respondents also highlighted the value of GCF support and guidance, including technical support from the GCF Secretariat and its regional advisors, newsletters, and events.

### ***2.3.4 A valued convener***

Currently, GCF supports numerous modalities for knowledge-sharing and interaction, including regional and global dialogues, partner-led forums such as the NAP Expo, regional writeshops and other technical sessions. Many country interviewees reported that they have found the GCF's regional NDA workshops (e.g., Structured Dialogues, GCF Adaptation Rationale Workshops) to be particularly useful in developing their approach to the NAP process; some concluded that the more GCF can bring people together face-to-face to share knowledge and experiences, the better (the current challenges of doing this in light of the COVID pandemic notwithstanding).

## **2.4 Improved review and approval process**

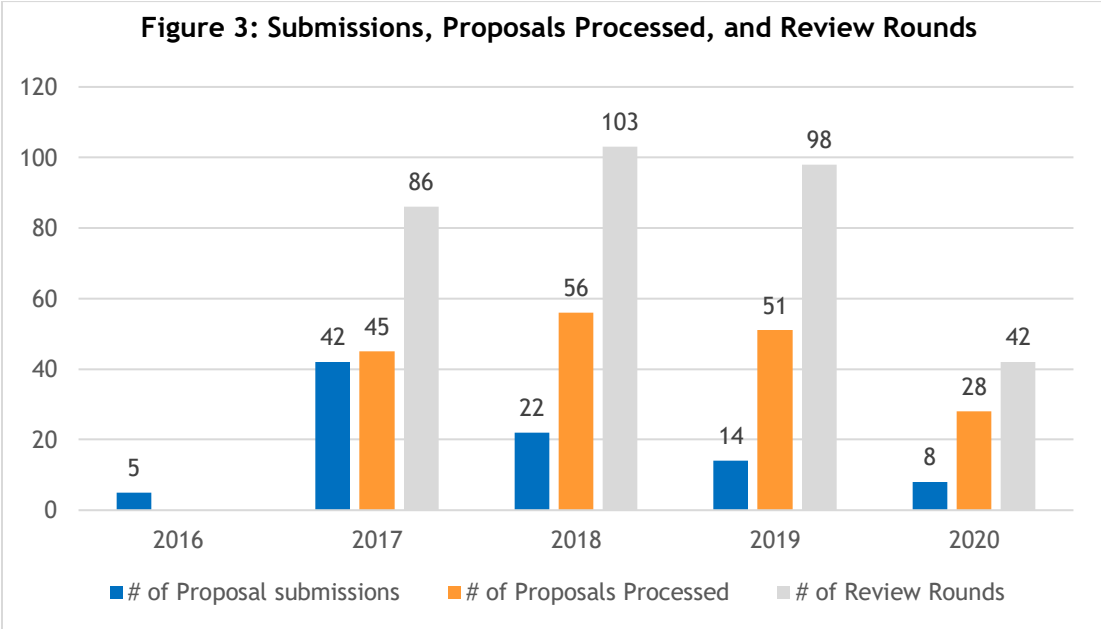
This section includes information from an analysis conducted by the GCF Secretariat that includes all 91 proposals to the adaptation planning window of the Readiness and Support Preparatory Programme that GCF has approved since the Programme's inception in 2016. (This is in contrast to the 35 proposals

that WRI was asked to review for other sections of this report.) It provides an overview of the submissions and approvals as well as the review and approval processes for the adaptation planning window of the Readiness Programme. This information shows that significant improvement has been made in processing times for adaptation planning proposals by the GCF Secretariat.

**2.4.1 Submission Trend**

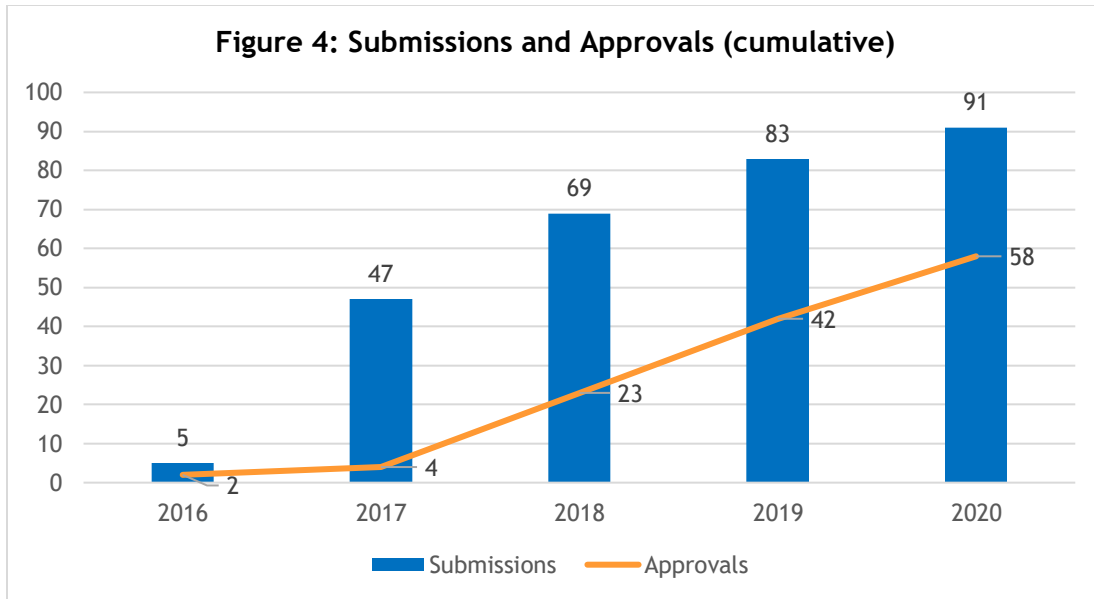
The submission of adaptation planning proposals to the GCF Secretariat started in September 2016 when Nepal and Liberia made their first submissions. Since then, the number of proposal submissions spiked in 2017 with 44 proposals submitted. Since 2017, the submission pace has been decreasing over the past three years. Fewer proposals have been submitted in 2020 so far, likely due to the COVID-19 pandemic. However, at least 10 proposals are currently in the development stage, most of which are expected to be submitted by the end of this year.

To date, the GCF Secretariat has received 91 proposals from 88 countries (with three countries submitting concurrent proposals), and one has been cancelled at NDA’s request. With every approved proposal going through at least two rounds of review and most of them being reviewed even more rounds, the GCF Secretariat has processed many more rounds of reviews than the actual number of submitted proposals. In 2018 and 2019, the Secretariat conducted 103 and 98 rounds of review respectively.



**2.4.2 Approval Trends**

Since the first two proposals for Nepal and Liberia were approved in late 2016, the GCF Secretariat ramped up its capacity to process adaptation planning proposal submissions. From mid-2017 to early 2018, 2.5 full-time employees were hired to fully dedicate their time on reviewing and processing adaptation planning proposals, which significantly increased the pace of approvals. To date, out of 91 submissions, 58 proposals have been approved (an approval rate of 64%).



### **2.4.3 Review/Appraisal Process Improvement**

With dedicated staff members in place, GCF Secretariat has significantly improved its review and appraisal process over the past 3 years.

In 2017, it took the GCF Secretariat 108 calendar days on average to process a first submission and provide feedback to the NDAs and DPs. With the development of a formal review and appraisal process including the review criteria in late 2017 and other measures to improve the appraisal process since then, the average number of days for processing the first submissions has reduced by over 50% over the past 3 years.

Such efficiency gain is the result of the measures deployed by the Secretariat over years, such as developing appraisal criteria and technical guidance to advise the development of proposals, providing hands-on technical support to countries in developing and improving the quality of the proposals, organizing technical exchange sessions and writing workshops at regional/global events, and strengthening the coordination of inter-divisional review process in the Secretariat to ensure consistency and coherence of feedback.

## **Section 3: The road ahead: strengthening adaptation planning with GCF support**

This section outlines specific recommendations for strengthening adaptation planning support within GCF's Readiness Programme. It draws on our analysis of proposals, interviews with country representatives and staff of adaptation planning institutions, discussions with the GCF Adaptation Planning team, and our review of GCF documents, including, most importantly, the Readiness and Preparatory Support Programme Guidebook.

These recommendations take into consideration what we have learned of GCF's strengths as an actor in the adaptation planning landscape. We believe GCF is uniquely positioned to offer the support and guidance needed by developing countries to develop robust and sustained adaptation planning

processes. Renewed effort in knowledge management and sharing will be key to such an effort, and our recommendations are shaped around a vision for a dynamic Knowledge Sharing Platform that could serve this vital function.

Specific recommendations include the following:

### ***3.1 Develop guidance that is specific to readiness proposals for adaptation planning, including a more detailed descriptions of the 16 indicative adaptation planning outputs***

As we reviewed GCF documents and spoke with individuals involved in countries participating in the Readiness Programme, it became clear that there are different perceptions of GCF's key priorities for adaptation planning support.

It is noteworthy that the GCF's March 2020 Readiness and Preparatory Support Programme Guidebook (hereafter the Guidebook) does not include a list of the 16 indicative adaptation planning outputs. Central to strengthening Programme guidance would be providing additional information related to these outputs, such as examples of how countries have included them in their planning processes. Appendix C contains draft guidance descriptions for each output, which include the following:

- A brief definition of the output and elaboration of its value for adaptation planning
- Two narrative good practice case examples, with links to publications providing further context and details
- A list of additional resources (guides, tools, methodologies, training materials, etc.) related to each output.

### ***3.2 Consider additional guidance to bring attention to under-utilized outputs***

In addition to providing detailed descriptions for each of the 16 indicative outputs, additional detailed guidance could be created to address outcome and output areas that our proposal analysis found to be underutilized. Adding explicit good practice examples related to these output areas, as suggested below in 3.4, could help. Suggestions for additional guidance include the following:

#### ***3.2.1 Private sector: getting it on the radar, and moving from awareness-raising to engagement***

Activities related to the four outputs under Outcome 3.3 (private sector engagement in adaptation catalyzed) were not frequently included in the proposals analyzed. This points to the need for greater encouragement for countries to consider private sector activities as they develop proposal content, and clearer guidance on how to do so – an objective that may be achieved through the mandate in the revised Readiness and Preparatory Support Guidebook that all outputs/activities in proposals be linked explicitly to one of the four adaptation planning Outcomes.

The proposed Knowledge Sharing Platform (described below) could be an excellent format for such communication and guidance—and showcasing the handful of countries that have progressed with the private sector engagement activities in their proposals could be a powerful way to enhance it.

#### ***3.2.2 Finance tracking: elucidating why it's important, and showcasing how it can be done effectively***

Very few proposals (only five out of 35) contain specific activities related to Output 3.4.4, developing systems for tracking adaptation finance. To encourage and support countries in identifying this activity as part of their approach to adaptation planning, it may be helpful to capture, through case studies or

videos, why the countries that did include it felt it was important, and what they have gained through implementation to date.

### 3.2.3 Policy and regulatory frameworks: making stronger ties to evidence basis

For our analysis, we applied a rigorous standard to Output 3.2.4 (policy and regulatory frameworks). Since this output is under Outcome 3.2 (evidence basis used to design adaptation solutions for maximum impact), we looked only for references to establishing or modifying policy and regulatory frameworks in relation to stronger or more complete consideration of an evidence basis related to adaptation needs and solutions. As indicated in Section 2, very few proposals (6) contained activities that met this standard.

While only a handful of proposals contain activities that were explicit about linking the evidence basis to policy frameworks, many proposals contain activities related to integrating or mainstreaming adaptation into sectoral policies and regulatory frameworks. Encouraging more explicit links to the activities that fall under other outputs in Outcome 3.2 could strengthen proposals and lead to better integration of climate information in policy and regulatory frameworks.

### 3.3 Create a “road map” to help clarify GCF’s intent related to the adaptation planning outputs

The Readiness Programme’s guidance to countries that is specific to developing adaptation planning proposals is diffuse. The Guidebook does contain adaptation-planning specific details in its guidance on developing a Theory of Change narrative, its elaboration of appraisal criteria and good practice examples, and an indicative list of activities for Readiness support. While each of these serves a unique purpose in the proposal development process, they are not uniform between the different sections and their relationship to one another is not made clear in the Guidebook. This can lead to confusion about the kinds of proposal content and activities that GCF seeks to support in adaptation planning efforts. Table 2 brings all related guidance together, with a brief note about their purpose.

**Table 2: GCF’s Multiple Frameworks of Adaptation Planning-related Guidance**

Framework	Content	Location	Purpose
Outcomes and outputs for <b>Objective 3: strengthened adaptation planning</b>	Four outcomes describe key areas of focus for adaptation planning; 16 indicative outputs offer specific areas of action for the outcomes	Outcomes are described on page 40 of the Guidebook; outputs are not listed in the Guidebook, but can be found in B.22 “Readiness and Preparatory Support Programme: Strategy for 2019-2021 and Work Programme 2019” and the PDF “GCF in Brief: Adaptation Planning,”	Outcomes are approved by the Board, and must be included in verbatim into the proposal; Indicative Outputs are developed by the Secretariat for countries to choose from according to their national needs and circumstance



		available on GCF’s website	
Theory of Change (ToC) narrative points for Objective 3	Includes points that are similar to some of the 16 outputs (stakeholder engagement, reducing vulnerability, policy frameworks, etc.)	Guidebook, page 24 and 25	ToC is the must-have element of the proposal that visualizes the overall framework of the proposal
Indicative list of activities for Objective 3	List includes 12 indicative activities, some of which are very similar to, though not precisely aligned with the 16 outputs	Guidebook, page 43	Indicative activities could be included under related Outputs
Appraisal criteria and good practice examples	List of 12 criteria, each with several good practice examples, that apply to all Readiness proposals. Criteria 9 and 10 are explicit to adaptation planning, though the good practice examples do not align directly with the indicative list of activities above or the 16 outputs	Guidebook, page 34-36	Appraisal criteria are used to evaluate the quality of proposals

However, greater effort could be made to ensure that those developing proposals have a clearer understanding of how these multiple sets of guidance relate to one another and how to use them in developing proposals. Future iterations of the Guidebook could include a clearer “roadmap” of these relationships. Such a “roadmap” could include explicit language detailing how these sets of guidance should be used to develop the adaptation planning proposals, and would replicate exact language and themes, where appropriate (see specific recommendation related to appraisal criteria, below). A robust and accessible knowledge sharing platform could further elaborate these relationships, and would be instrumental in efforts to support countries in developing and implementing adaptation planning proposals. At the end of this section, we suggest an approach to organizing such a platform.

**3.4 Modify appraisal criteria to more directly reflect adaptation planning outputs**

As noted above, the twelve appraisal criteria outlined in the Guidebook are intended to be used in the appraisal of all Readiness proposals, but nonetheless, opportunities exist to refine those criteria, and

their associated good practice examples, in ways that could better support countries in considering content that relates to the 16 indicative adaptation planning outputs.

In our analysis of the first 35 approved proposals, we identified three outputs that were particularly under-utilized: Output 3.2.4 (policy and regulatory frameworks), Output 3.3.3 (adaptation planning for climate resilience of businesses and supply chains) and Output 3.4.4 (systems for tracking adaptation finance). Outcome 3.3 (private sector engagement in adaptation planning catalysed) was also less utilized than the other four outcomes. In addition to sharing more robust guidance descriptions for all outputs, specific good practice examples in these areas could be included under relevant appraisal criteria.

For example, the current list of good practices for **Appraisal Criterion 5** (private sector investment strategy) is listed below in black text. Potential additions or modifications that connect more directly to outputs under Outcome 3.3 (private sector engagement in adaptation catalysed) are noted in **red text**:

- Producing the evidence base that supports the business case for private investment in low-emission and climate-resilient development, **including assessment of climate change impacts on businesses and supply chains**
- **Assessing barriers to private sector investment and developing a policy strategy to remove them**
- **Engaging private sector actors in national, sectoral, and/or sub-national climate change planning processes, including adaptation planning**
- Defining a sustainable finance sector investment strategy
- Communicating tailored climate information to attract private sector investment for adaptation and raise awareness on resilience building
- Engaging with the finance sector to develop new financial products, blended finance approaches, and/or service markets that accelerate uptake of climate technologies
- Catalysing private-public partnerships for adaptation action, **including support for marketplaces and other means of matching private financiers with solutions**

Good practice examples under **Appraisal Criterion 9** (plans to address specific vulnerabilities and climate impacts) could be expanded to link to activities pertinent to Output 3.2.4 (policy and regulatory frameworks), such as the following:

- Designing activities to address specific climate impacts and vulnerabilities based on localised climate risk mapping and assessment
- Conducting localised analysis of climate impacts as well as the vulnerability of specific economic activities and populations to these impacts
- Analysing the barriers to addressing identified vulnerabilities, and the actions needed to address these barriers
- **Initiating efforts to mainstream/integrate adaptation considerations into policies and frameworks that are based on reliable evidence of climate impacts and vulnerability**
- Prioritising adaptation actions as well as explicit programmes and project ideas to address the specified impacts and vulnerabilities, including consideration of financial costs and climate impacts of different options

- Engaging private sector and public decision-makers, including at local levels, in planning based on accessible climate impact and vulnerability information

Under **Appraisal Criterion 10** (adaptation financing strategy), a good practice example could be added to specifically reflect Output 3.4.4 (systems for tracking adaptation finance):

- Developing a strategy that defines high potential funding sources for specified areas of adaptation action, including private and public, domestic and international sources
- **Establishing systems for tracking adaptation finance**
- Developing a prioritised pipeline of adaptation programmes and project ideas, as well as concepts notes for submission to GCF, drawing relevant prioritisation criteria as needed from existing methodologies. To avoid any possible conflict of interest deriving from the delivery partner's role as an accredited entity to the GCF, the prioritization of projects for GCF funding should be made through a broad consultation process with relevant stakeholders, under the leadership of the NDA
- Considering a combination of funding options from taxes (public resources), tariffs (private payments), and transfers (international cooperation); as well as financing of up-front capital to be repaid over a period of time. Financing may make use of instruments such as loans, bonds, equity and others
- Exploring blended finance options to use development finance or philanthropy to mobilize private financing for adaptation
- Defining an adaptation planning sustainability strategy of how relevant adaptation planning activities will be sustained after the GCF funds are spent, including the updating of datasets, retention of knowledge, complementarity with existing web-based platforms, and actors trained through the process

### ***3.5 Consider an appraisal criterion related to capacity building for adaptation planning***

Should there be an opportunity to put forward additional appraisal criteria in the future, GCF could consider a criterion related to **capacity assessment and capacity building**. Such activities were common in all 35 proposals analyzed, but none of the 16 outputs directly relate to this obvious need. Countries commonly include capacity assessment and capacity building activities related to elements that are fundamental to effective long-term adaptation planning, including climate information systems, vulnerability assessment, and budgeting. Several proposals also include sets of activities related to supporting academic institutions to build in-country expertise.

Our analysis of proposal budgets indicates that the estimated costs of activities related to capacity building represent a significant portion of overall proposal budgets for some countries. While such activities may not be relevant to the appraisal of all Readiness proposals, it is clear that they are essential for effective adaptation planning. Including an appraisal criterion and/or an outcome and outputs to this effect could help to guide and support countries to undertake these activities in a robust and meaningful way.

### ***3.6 Consider ways to support knowledge management that is tailored to adaptation planning***

In interviews, country representatives recognized that a great deal of guidance on adaptation planning is available, but reported that they find translating that knowledge into practice to be challenging. GCF could find creative ways to analyze, synthesize, organize, and share that information, particularly regarding the 16 adaptation planning outputs it seeks to enact through the Readiness programme.

Similar to responses in the interviews with staff of key institutions described in the previous section, several country representatives noted that GCF currently holds a great deal of information on good practices and lessons learned through adaptation planning processes, and that they would find a database of country strategies that have been employed with GCF support to be a potentially helpful way of sharing accessible, practical, and useful knowledge related to adaptation planning.

While the institutions we interviewed have initiated such efforts, they have faced limitations that GCF may be able to transcend. NAP-GN, for example, has created numerous knowledge products and country case studies, but they are limited by the smaller group of countries that they work with. Similarly, the LEG manages NAP Central and is in the process of launching the Open NAP initiative, but faces constraints from operating within the UNFCCC website and content management system.

Country representatives also voiced a desire for additional opportunities to share experiences among other countries implementing the adaptation planning Readiness grants. Respondents expressed interest in knowledge exchange related to a range of themes including climate data, risk assessment, identifying climate finance, moving from planning to implementation, and sectoral adaptation options. They also noted that countries at different stages of the process could learn from others' experiences to improve their work. Indeed, numerous countries have included South-South learning and knowledge sharing activities within their adaptation planning proposals; as these efforts begin to take shape, finding ways to amplify those efforts is likely to be well-received.

A robust knowledge sharing platform (KSP) can strengthen GCF's support for adaptation planning processes by capturing and enhancing GCF's adaptation planning work to meet user information needs. The KSP will provide a user-friendly go-to place for information about GCF-supported adaptation planning with targeted information, resources, and peer engagement regarding proposal development and implementation guidance. The KSP will serve to increase adaptation planning efficacy and highlight the progress and successes in adaptation planning supported by GCF.

The intended primary platform users are country representatives and delivery partners undertaking adaptation planning and NAP development and implementation. Secondary users are those interested in adaptation planning more broadly including adaptation practitioners, other NAP support entities, and the public.

The KSP will focus on GCF's niche in the adaptation planning knowledge management landscape by highlighting user information needs regarding GCF's Readiness Programme approach, processes, and adaptation planning outcomes and outputs. The KSP can provide curated resources to support users including highlighting the progress made and good practices examples, success stories, and lessons learned from GCF-supported adaptation planning efforts.

The KSP will feature GCF's adaptation planning support, expectations, and results using the GCF adaptation planning outcomes and outputs framework: 1) adaptation planning governance, 2) climate information and communication, 3) private sector engagement, and 4) climate finance. By organizing

content in this way, platform managers will be able to add emphasis or elaborate information on outcome/output areas that are underutilized or require additional guidance.

The proposed objectives for the GCF adaptation planning KSP are to:

1. Support users in GCF Readiness adaptation planning proposal development and implementation by providing enhanced guidance on GCF adaptation planning outcomes and outputs using targeted content and curated resources.
2. Support user learning about good practices and lessons learned from completed and ongoing adaptation planning initiatives.
3. Facilitate peer engagement and a community of practice that boosts adaptation planning and implementation efforts.
4. Demonstrate the progress and successes of GCF-supported adaptation planning.

The KSP can also be a destination for GCF efforts related to the recommendations in this report. The site could act as an avenue for providing updates and additional information on, for example, appraisal criteria and a “road map” and associated guidance tools for proposal development.

To support the success of GCF’s adaptation planning KSP, recommendations gleaned from other adaptation knowledge management sites include:

1. Build in sufficient time and budget during site development for the user feedback and iteration that will ensure the site meet target user needs for information, peer engagement, and navigability.
2. While maintaining some flexibility, plan out platform themes months in advance and line up blogs and content around the theme. Themes are a way to package new and existing content to catch attention of users with a particular interest.
3. Match platform themes and highlighted content to current GCF or global events (e.g., GCF proposal deadlines, COPs) such that valuable knowledge is available to users when they need.
4. To attract users to the site, provide a significant amount of offline engagement, including training on the value of the site and how to use it.

## Section 4: Conclusion

GCF’s Readiness and Preparatory Support Programme has played an instrumental role in advancing adaptation planning processes globally. It has provided developing countries with access to the financial resources required to create comprehensive and well-informed adaptation plans and begin to implement them – and also with invaluable technical guidance and feedback essential to creating a pipeline of robust proposals that will be effective in building resilience to climate change impacts. The Readiness Programme is recognized as a key actor in the adaptation planning landscape, and its technical expertise, clear communications and the commitment of its staff are well recognized.

However, as this report indicates, more can be done to strengthen the Readiness Programme's adaptation planning support. While GCF has already taken measures to address some of the challenges identified, GCF may be able to use the other findings and recommendations of this report to further enhance the Programme and its support to countries that are working to build their resilience in the face of mounting climate change impacts.

## Appendix A: Summary of Country Interviews

WRI conducted eight interviews with countries and delivery partners participating in GCF's adaptation planning support through the Readiness Programme (Table 1). The interview questions addressed developing adaptation planning proposals, experiences and lessons learned from implementation, and adaptation planning resources accessed.

Table 1. Countries and contacts interviewed

Country	Interviewee	Position	NDA or Delivery Partner
<b>Antigua &amp; Barbuda</b>	Michai Robertson	NAPs coordinator, Environment Department, Ministry of Health and Environment (referred by Ms. Diann Black-Layne)	Delivery partner (National government)
<b>Bosnia &amp; Herzegovina</b>	Ozren Laganin	Ministry of Spatial Planning, Construction, and Ecology (on behalf of Ms. Svjetlana Radusin, UNFCCC Focal Point)	NDA
<b>Colombia</b>	Pablo Posada	Environmental Coordinator, Fondo Acción	Delivery partner (national)
<b>Costa Rica</b>	Agripina Jenkins; Ximena Apestigui	Climate Change Department, Ministry of Environment, Energy, and Telecommunications (MINAE)	NDA
<b>Kenya</b>	Savis Sadeghian	FAO-GCF Readiness Programme Coordinator	Delivery partner
<b>Liberia</b>	Benjamin Karmorh; Abraham Tumbey	Coordinator MEAs and Climate Change, Environment Protection Agency (Karmorh); NAP Project Manager, UNDP (Tumbey)	NDA and Delivery partner
<b>Uruguay</b>	Marianne Kasparzyk; Macarena Mo Umpierre; Irma Campo Leon	Advisor to Climate Change Division, Ministry of Environment (Kasparzyk); Technical Assistant to NDA, (Mo); Principle Consultant (Campo Leon)	NDA
<b>Zimbabwe</b>	Washington Zhakata	Director, Climate Change Management Department, Ministry of Environment, Water and Climate	NDA

Country interviews highlighted areas of feedback for GCF, numerous examples of good practices during implementation of adaptation planning efforts supported by the Readiness Programme, and common adaptation planning resources accessed, each described in the following sections. This section summarizes the three key themes that emerged related to feedback for GCF, including the need for additional guidance, particularly in four specific areas. It also includes good practice examples identified

through interviews that address aspects of GCF’s four adaptation planning outcome areas and other related work. It concludes with a list of resources that countries mentioned, including national-level sources (policy, NDCs, etc.) and international guidance. While these interviews highlight key themes, these findings are limited by the number of countries interviewed.

## FEEDBACK

Country interviews revealed feedback for GCF that could be grouped by 1) challenges and successes in proposal development, 2) additional facilitation of knowledge exchange, and 3) interest in additional guidance (Table 2). The main areas of interest for additional guidance were related to the private sector, concept notes and project pipelines, vulnerability assessment, and identifying experts for adaptation planning support.

Table 2. Feedback for GCF identified from country interviews.

Country	Themes of Feedback for GCF						
	1 Proposal developme nt	2 Facilitate knowledge exchange	3A Additional guidance- Private sector	3B Additional guidance- Concept notes/proj ect pipelines	3C Additional guidance- Vulnerabili ty assessment t	3D Additional guidance- Identifying experts	3E Additional guidance- Other
Antigua & Barbuda	x	x				x	
Bosnia & Herzegovina				X	x		M&E
Colombia	x	x	X				Gender; KM; Communications; Project management
Costa Rica	x						
Kenya		x	X	X		x	Gender; ToC
Liberia	x	x	X		x	x	
Uruguay	x	x	X				
Zimbabwe	x			X	x		
<b>Total</b>	<b>6</b>	<b>4</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>3</b>	

### 1. Benefits and successes in proposal development

Interviews revealed a series of benefits and challenges that countries faced in the adaptation planning proposal development process including:

- Proposal feedback from multiple GCF divisions and offices (e.g., accounts, legal, technical, etc.) was not well-coordinated (including contradicting feedback from successive reviewers),



- Proposal feedback entailed long review times,
- Uncertainty about when proposals would be approved,
- Costly proposal development in terms of money and time, and
- Uncertainty about the ability to work with local implementing partners.

Respondents also noted that while the proposal development process could be challenging, the final proposal resulting from GCF feedback was well-designed and ready to implement. Interviewees highlighted the value of GCF support and guidance, including technical support from the GCF Secretariat and its regional advisors, newsletters and events.

## **2. Facilitate further knowledge exchange/sharing**

Country interviews demonstrated a desire for additional opportunities to share experiences among countries and further facilitation of adaptation planning Readiness Programme knowledge exchange. Respondents noted that it would be useful to have easier access to the wealth of information and experience generated by countries implementing adaptation planning efforts supported by the Readiness Programme. They expressed interest in knowledge exchange related to a range of themes including climate data, risk assessment, identifying climate finance, moving from planning to implementation, and sectoral adaptation options. Respondents noted that countries at different stages of the process could learn from others' experiences to improve their work. For some countries, particularly smaller ones, there was also an interest in further facilitation of knowledge sharing within regions as well as regional cooperation to create shared data sets for climate projections and risk modeling which could avoid duplication of effort and save money. Specific ideas included:

- Create a type of network among countries implementing adaptation planning Readiness,
- House a knowledge exchange platform so that countries in different stages of implementation can learn from others' experience,
- Host in-person workshops (such as the 2018 Philippines climate rationale workshop or NAP Expo-type events),
- Host a knowledge support platform with climate data, vulnerability assessments, and adaptation options that countries could use to complement their own work, and
- Facilitate knowledge sharing among country government officials and others involved in adaptation plan implementation (e.g., delivery partners), such as webinars or the GCF Structured Dialogue events, but targeted towards countries implementing adaptation planning Readiness.

## **3. Additional guidance**

Interview respondents expressed an interest in additional guidance from GCF about its expectations for adaptation planning Readiness Programming including more specific examples of good practices. Respondents recognize that there are many adaptation resources available but noted that some are difficult to find or overly technical. Respondents reported that webinars devoted to NAP programming, adaptation activity guidelines along with concrete examples of adaptation options, direct communication with GCF, and the type of knowledge exchange mentioned above would support learning and implementation of adaptation planning efforts supported by the Readiness Programme.

### 3A Private sector

Respondents reported an interest in further guidance about private sector engagement and in particular information about developing concept notes for the private sector, the business case for private sector engagement, and how to best link the private sector to opportunities in adaptation. Respondents also noted challenges related to developing a business case for private sector engagement, including identifying incentives for the private sector to invest in adaptation, demonstrating efficiency, and identifying narrower, target-specific adaptation options.

### 3B Concept notes and project pipelines

Respondents noted that a lack of knowledge (including understanding of the climate rationale) and resources remain key barriers to developing project pipelines. With this recognition, FAO, for example, is supporting countries and advising NDAs to use Readiness funds to develop solid climate rationale that will lead to the development of concept notes and full proposals. Additional comments included challenges with understanding and meeting the GCF requirements for project pipeline development. Interviewees also commented that identifying the capacity and partners (again, including with regards to developing a climate rationale) to develop proposals was challenging.

### 3C Vulnerability assessment

Interview respondents clearly recognized the key role of climate risk and vulnerability assessment in adaptation planning. They expressed an interest in better templates and clearer indicators that would strengthen in-depth analysis to guide adaptation planning and create more uniform assessments that would allow countries to more easily compare and aggregate data across countries.

### 3D Identifying and recruiting experts

A few interview respondents noted that identifying and recruiting experts with appropriate knowledge for work on proposal development and implementation can be challenging. One suggestion was that GCF could house a database of experts that countries could use.

### 3E Other

Other requests for additional guidance from GCF included the following. In two cases, respondents noted that one or more of these issues could be better highlighted in the logical framework and budgeting.

- Gender,
- Monitoring and evaluation of adaptation activities,
- Knowledge management,

- Project management and implementation within dynamic, complex entities and contexts (including through changes in government),<sup>1</sup>
- Strategic communications, and
- Theories of Change.

While the themes above demonstrate the calls for additional guidance, country respondents also expressed appreciation of working with GCF and the GCF Readiness Guidebook. Respondents described that while Readiness Programme proposal development could be time consuming, GCF worked with them to create a final proposal that was well designed and ready to implement. (GCF has the resources and intention to support countries in project development.) Country respondents further noted that GCF engagement and communications (regional meetings, webinars, newsletters, etc.) during project implementation provided valuable information and insights about various strategies and approaches.

Regarding the Guidebook, respondents noted that it was useful on a range of topics including indicative activities, clear guidance on adaptation planning generally and stakeholder engagement in particular, and dealing with project management processes. Respondents did offer some feedback on the Guidebook logical framework including requests for additional guidance on logical framework indicators and translation of the logical framework for use by countries that were approved before the guidebook was released (this would aid country reporting and would more readily allow for aggregating results across countries).

## **GOOD PRACTICE EXAMPLES**

The country interviews identified numerous good practice examples of adaptation planning Readiness Programme implementation. Some of these are directly linked to the GCF adaptation planning outcomes while others are relevant but not directly linked.

### Outcome-aligned good practices

#### Collaboration across government (Output 3.1.1)

- In Zimbabwe, close collaboration with other ministries and academia has boosted the financing and results of the NAP process. The NAP team, for example, has cooperated with the Ministry of Local Government to ensure that national adaptation planning is taken up by local authorities and with academic institutions to support capacity building in all provinces. (Zimbabwe)
- The NAP steering committee in Colombia is composed of four entities— the National Planning Department, Ministry of Environment, Risk Authority, and the Institute for Hydromet. The NDA is the technical secretariat for the steering committee. This collaborative work is not always easy but it generates good ideas and ownership of project activities with each institution. (Colombia)

#### Clear governance structures (to mitigate disruption from changes in government) (Output 3.1.1)

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<sup>1</sup> Respondents commonly noted the challenge that a change in government (and the associated changes in political actors and priorities) presented to adaptation planning Readiness Programme proposal development and implementation.

- Changes in government and key officials can severely disrupt NAP Readiness Programme development and implementation. The NAP team in Colombia has defined clear governance processes for NAP and developed an Operation Manual with a clear governance structure to mitigate the disruption of a change in government and political officials and priorities. The guidance directs how committees are formed, how decisions are made, and more. (Colombia)

#### Stakeholder engagement within and outside government (Output 3.1.2)

- In Liberia, the NAP team has worked hard to actively engage stakeholders within and outside the government so that all stakeholders see the benefit of the project, from top level political actors to youth. For example, government agency focal points attend national and international meetings, participate in international trainings and climate negotiations, and review all the NAP workplans. And the NAP team works with the 15 provincial governments, civil society, youth, community representatives, farmers, and local authorities to capture the range of viewpoints and build consensus around adaptation activities. They use various media to share project information widely, create an atmosphere of transparency, and let everyone feel a part of the process. (Liberia)

#### Knowledge management (Output 3.2.2, 3.2.3)

- Colombia's adaptation planning Readiness Programme implementation has included a focus on strategically documenting and communicating the processes, practices, and results of their adaptation planning activities. Now the Programme is launching an adaptation knowledge portal for the country to ensure that project information and learning is readily available to all stakeholders. (Colombia)
- Through the adaptation planning Readiness Programme, Liberia has worked to expand the knowledge base for scaling up adaptation. As part of this effort, the country's Environmental Protection Agency now hosts a climate change knowledge support platform available to all stakeholders. The platform has been well received and is already raising awareness raising and building capacity related to climate change impacts, the role of the private sector, the promotion of innovative solutions, and more. (Liberia)

#### Climate change mainstreaming into project planning (Output 3.2.4)

- The Liberia NAP team developed materials for mainstreaming climate change across government planning and activities to ensure that government initiatives integrate adaptation. (Liberia)

#### Private sector engagement (Output 3.3.2, 3.3.3)

- To facilitate private sector engagement, Colombia conducted an in-depth participatory analysis of gaps, barriers, and opportunities for private sector engagement in the agriculture, water, urban, and financial sectors. Using this analysis, they designed tailored solutions to address the barriers. This participatory effort has involved private sector actors from each sector and has been well-received. With good buy-in from stakeholders, they are developing the business case for adaptation. (Colombia)

#### Adaptation project pipeline development (Output 3.4.1, 3.4.2, 3.4.3)

- To develop ideas for concept notes, the government of Colombia conducted open consultation sessions around the country, inviting more than one thousand people across sectors and stakeholder groups. They collected over one hundred adaptation initiative proposals, and conducted a robust exercise to prioritize projects (including a pitching exercise, where individuals presented ideas to a panel and responded to questions). Six of the proposals moved forward and were matched with consulting firms to fully develop them into two full proposals and four concept notes. (Colombia)
- To develop a pipeline of bankable projects, Costa Rica is first finalizing their NDC investment plan which will then link to the NAP project pipeline. The aim of this linkage is to increase coherence around national adaptation goals and long-term sustainability of selected projects. (Costa Rica)

#### Climate finance capacity building and tracking (Output 3.4.4)

- As part of the effort to develop financing mechanisms for scaling up adaptation, Liberia is building climate finance capacity and developing a platform for tracking and monitoring climate finance. The climate finance tracking platform is linked to the adaptation monitoring and evaluation framework to ensure that financing is achieving desired outcomes. This initiative is leading to a team of people with good understanding of identifying and accessing climate finance options and the system to track the impact of climate finance. (Liberia)

#### Other good practices

##### Capacity building

- Antigua and Barbuda selected a national government as their delivery partner (the Department of Environment). While not being able to rely on external entities has been challenging, they have built extensive capacity within the Department of Environment and the country. They are now using this experience to guide Dominica in taking a similar approach. (Antigua and Barbuda)
- In Colombia, the national NGO, Fondo Accion, was selected as the delivery partner in 2017 after a highly competitive bidding process. As a national NGO delivery partner, the great experience of developing and implementing the adaptation planning Readiness Programme is increasing capacity within the country. (Colombia)
- Liberia's stock taking activities identified a serious capacity gap. They designed their proposal to focus heavily on capacity building. They set up a multi-disciplinary team to guide capacity building efforts and have supported trainings around the country and sent people to international trainings and meetings as well. They have also established a university graduate program in environmental science and climate change, which will help carry this capacity into the future. The program is currently overwhelmed by the great interest from young people. (Liberia)
- In Zimbabwe, NAP Readiness Programme implementation has strengthened national capacities for adaptation planning and budgeting which has directly translated into securing additional adaptation support for strengthening local livelihoods. After nearly two years of adaptation planning Readiness Programme implementation, in 2020, Zimbabwe secured the GCF funded 'Building Climate Resilience of Vulnerable Agricultural Livelihoods in Southern Zimbabwe' grant to support adaptation among smallholder farmers. (Zimbabwe)

### Impact assessment

- Strategic Impact Assessments (SIA) are a requirement of Antigua and Barbuda's Environmental Protection and Management Act. Government actions go through an SIA process to critically assess the environmental and social impacts. The Department of Environment is developing the methodology for the SIA, which will include assessment of climate risk and impacts and actions to address these impacts and vulnerabilities. The Sustainable Island Resource Framework Fund (SIRF Fund) funds the work to analyze all actions for their full impact. (Antigua and Barbuda)

### Intellectual property rights

- To ensure that government adaptation planners can make full use of data generated through NAP activities, it is key that the government owns the data generated by consultants and contractors. International private sector entities (insurance companies and risk modelers), however, were reluctant to give up the intellectual property rights to data generated through contracts. Antigua and Barbuda used a provision in their grant agreement with GCF to convince contractors that any intellectual property coming GCF proceeds would be a joint product and owned by the government. (Antigua and Barbuda)

### Peer learning for policy makers

- After Liberia signed Paris Agreement, they found it difficult to get it ratified. In 2018, with support from UNDP, the EPA led a Liberian delegation study tour to Ghana with representatives from the Ministry of State, Ministry of Foreign Affairs and members of the national legislature. The Liberian delegation had the chance to speak with their peers in Ghana about climate change as a development issue, not just an environmental issue. After the tour, the legislators ratified the Paris Agreement in less than a week and are now open to engaging with the NAP team. (Liberia)

## **RESOURCES USED IN ADAPTATION PLANNING READINESS PROGRAMME DEVELOPMENT AND IMPLEMENTATION**

In addition to GCF guidance, respondents reported using national and international guidance in developing and implementing GCF adaptation planning Readiness proposals. Interviewees noted that much NAP guidance exists but that it is not always well-coordinated and is sometimes overly technical. Resources mentioned include:

- Country strategic documents (policy, NDCs, etc.)
- UNFCCC Technical Guidelines
- NAP-GSP
- NAP-GN
- NAP Expo platform
- ODI
- IIED
- WRI
- OECD guidelines for sectoral planning
- Direct communications with UNDP

- UNFCCC Adaptation Committee
- EU guidelines
- GEF guidebooks
- FAO NAP-Ag program publications including the NAP-Ag Guidelines
- FAO MOSAICC (Modeling System for Agricultural Impacts of Climate Change)
- UNITAR, FAO, UNDP MOOC on NAP in Agriculture
- Resources from other countries
  - Ireland's National Adaptation Framework
  - St. Lucia's National Adaptation Plan and related materials

## Appendix B: Global institutions' key contributions and current priorities for adaptation planning support

In this section, we provide an overview of three of the leading global institutions providing NAP support and guidance for the development and implementation of NAPs: the UNFCCC Least Developed Countries Expert Group, the NAP Global Support Programme, and the NAP Global Network. This overview is based on a review of key documents and interviews with representatives of these institutions.

### *UNFCCC Least Developed Countries Expert Group*

The [Least Developed Countries Expert Group](#) (LEG) was established under the UN Framework Convention on Climate Change in 2001. The LEG is made up of 13 experts, mostly from LDCs, with three representing Annex II countries.

The LEG's current mandate is to provide technical guidance and support to the LDCs on the process to formulate and implement NAPs (as well as NAPAs and the implementation of the LDC work program). The LEG is also mandated to provide technical guidance and advice on accessing funding from GCF for formulating and implementing NAPs, in collaboration with the GCF secretariat.

The LEG offers key support for NAP development and implementation in LDCs through the following mechanisms:

- In an effort to support countries in moving from the near-term, urgent adaptation priorities outlined in National Adaptation Programmes of Action (NAPAs) to the longer-term adaptation planning that is the focus of NAPs, it published the [NAP Technical Guidelines](#) in 2012. These guidelines continue to be the foundational “roadmap” for the NAP process, around which many subsequent guides and trainings by the LEG and others have been structured. For a brief summary of the guidelines, see Box 1 on page 8.
- It should be noted that the guidelines are not fully comprehensive; for example, they include very little information on issues such as private sector engagement or financing. Recognizing the fact that experience with the NAP process continues to evolve and expand, the LEG maintains a list of [supplementary materials to the NAP Technical Guidelines](#), which includes key resources from NAP Global Support Programme, NAP Global Network, and others. The list of supplementary materials was last updated in April 2019 and currently contains 27 documents.
- Since 2013, the LEG has organized the annual [NAP Expo](#), a multi-day event to promote exchange of experiences and foster partnerships to advance NAPs (the NAP Expo in 2020 has been postponed due to the COVID-19 pandemic).
- The LEG also maintains [NAP Central](#), a website designed as a knowledge sharing platform to support the development and implementation of NAPs.
- The LEG has identified 18 LDCs that will not be able to make progress on NAPs without significant support,<sup>2</sup> and is working to mobilize key organizations (including NAP Global

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<sup>2</sup> According to the LEG's 2020 Work Programme, these include Afghanistan, Burundi, Central African Republic, Chad, Comoros, Djibouti, Eritrea, Gambia, Haiti, Lesotho, Malawi, Mozambique, Sao Tome and Principe, Sierra Leone, Somalia, South Sudan, Timor-Leste and Yemen.



Network, UNDP, FAO, and others) to advance the NAP process in those countries.<sup>3</sup> Increasingly, this work will be carried out through a cloud-sourcing approach via the [Open NAP](#) initiative.

- A current priority for the LEG is to **advance the idea of coherence in the development of NAPs**, particularly integration with the SDGs. They are looking to support integrated approaches across multiple frameworks (NAPs, SDGs, Sendai framework, etc.). The LEG's NAP Technical Working Group is developing a supplement on integration, focusing on how to scale up the way agencies work together. They are aiming to have drafts available in July or August 2020, in time for the LEG's second meeting of the year, after which it will be available for review by others.
- The LEG supports **two-way communication with the operating entities of the financial mechanism of the UNFCCC** (the Global Environment Facility - GEF - and GCF) regarding the specific needs and challenges of LDCs. This has been proceeding effectively through engagement at LEG meetings and events like the NAP Expos.
- The LEG plays an important role in **coordinating the provision of technical support to countries**. Through the NAP Technical Working Group, it serves as a platform for trainings and other technical support, implemented through platforms such as the NAP Expo, through which it aims to maximize synergies.
- It provides **continuous monitoring of progress on NAPs**, tracking support provided and received, and developing an [annual progress report](#) for the UNFCCC's Subsidiary Body for Implementation (SBI).
- It [compiles information on gaps and needs](#) related to NAPs to report to the COP.

### *NAP Global Support Programme*

The [NAP Global Support Programme](#) supports the process of formulating and implementing NAPs, with a focus on helping countries identify technical, institutional, and financial needs to integrate climate change adaptation into planning and financing. It is funded by the Least Developed Countries Fund and managed jointly by UNDP and UN Environment.

NAP-GSP has been active since 2013 and has played an important role in supporting developing countries in NAP development. To date, it has supported 59 developing countries and has organized 21 training workshops (recent [regional trainings](#) were in South Korea and Africa). Its **three main areas of work** are:

- One-on-one country support
- Regional training
- Knowledge brokering

It has focused on **institutional shifts** that are needed for developing and implementing the medium- to long-term goals of NAPs by prioritizing efforts that support national planning and budgeting

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<sup>3</sup> It is worth noting that of these 18 countries, the following have approved proposals with the GCF: Haiti in May 2019, Chad in Dec 2019, Malawi in Mar 2019, Somalia in Nov 2019, and Sao Tome and Principe in Aug 2020. Proposals that are under review as of August 2020 include: Burundi, Djibouti, Eritrea, Lesotho, Somalia, South Sudan; the countries that have proposals that being co-developed with the GCF include: Central African Republic, Comoros, and Timor-Leste; and countries yet to submit proposals to GCF: Comoros, Gambia, Mozambique, Sierra Leone, Timor-Leste and Yemen.

frameworks, mainstreaming of adaptation considerations into sectoral and development plans, and NAP-related training and sensitization for ministerial teams (and not just NDAs or focal points).

According to interviewees, training has focused on **translating the NAP technical guidelines by providing real-life examples** and offering opportunities for south-south sharing and learning. Bringing in experts from sister UN agencies (like WMO, FAO, and others) has also lent strength to training efforts.

While financing for NAP-GSP is due to end this year, interviewees believe there is ongoing need for the work they do. They also hope to continue important **in-country work with several countries** that GCF is not yet supporting in adaptation planning (Afghanistan, Timor Leste, and others).

### *NAP Global Network*

The [NAP Global Network](#) (NAP-GN) was launched at COP 20 in 2014 with the aim of supporting developing countries to advance their NAP processes to help accelerate climate change adaptation efforts around the world.

NAP-GN operates as a network, bringing together individuals and institutions representing developing country adaptation policymakers and bilateral development agencies. According to its website, 140 countries currently participate; 40 countries are receiving direct technical assistance, and there are 11 bilateral donor members. Its work is guided by a steering committee made up of developing country adaptation practitioners and bilateral donor agencies. The International Institute for Sustainable Development (IISD) serves as the secretariat. The network is funded through contributions from the US, Canada, Germany, and Austria.

NAP-GN plays a unique role in **bringing together bilateral donors** to ensure that bilateral support for NAP processes is coordinated and complementary. Over time, it recognized that it could offer **South-South peer learning opportunities on specific topics** to address needs identified by countries (its [Targeted Topics Forums](#)). It also provides **short-term and longer-term technical assistance** to countries to address specific issues and needs in ways that are complementary to NAP support provided by bilateral or multilateral donors.

A key strength of NAP-GN is its significant body of practical knowledge products directly related to NAPs (to date, there are more than 170 products). These range from in-depth guides/manuals on specific topics relevant to NAPs, to brief case studies that highlight specific country experiences and lessons learned. Its work focuses on eight themes:

- Gender
- Financing NAP processes
- Sector integration
- Vertical integration
- Monitoring and evaluation
- Strategic communications
- NDC-NAP alignment
- Private sector engagement

In all of its efforts, NAP-GN strives to be a neutral actor that provides opportunities outside of the formalized negotiations space for adaptation stakeholders to dive into the finer details of adaptation planning processes, sharing challenges and lessons learned. While other institutions in this space are more comprehensive in their NAP support efforts, NAP-GN aims to be **nimble and responsive** to needs expressed by countries.

Further, since IISD is a knowledge/research organization, it can play a role as an **advocate for the NAP process**.<sup>4</sup> Such advocacy is needed, since the value of NAPs is not always fully understood; they can be viewed as complicated, cumbersome processes that are inefficient or ineffective in leading to on-the-ground implementation, and as interfering with other national efforts or goals (e.g. SDGs or NDCs). As such, NAP-GN works toward demonstrating and supporting the idea of synthesis of national goal frameworks and advocating the value of NAPs as a key foundation for adaptation action.

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<sup>4</sup> IISD is currently exploring the option of becoming a delivery partner for GCF's adaptation planning support.

## Appendix C: Guidance Descriptions for 16 GCF Adaptation Planning Outputs

### Output 3.1.1: Inter and intra-institutional coordination and decision-making mechanisms

Since the impacts of climate change affect all sectors and all levels of governance, strong inter and intra-institutional coordination and decision-making mechanisms are a critical element of laying the groundwork for a national adaptation planning process.

Models for such mechanisms can take different forms. Governments will typically designate a government agency or institution to be responsible for leading and coordinating all aspects of an adaptation planning process, drawing on multidisciplinary teams of experts representing each sector.

Core functions for coordination include overseeing the activities for the adaptation planning process, maintaining communications and outreach, and facilitating the collection of information on adaptation planning activities for monitoring and evaluation purposes.

Factors to take into consideration when considering the operations of such mechanisms include appropriate levels of authority, the hosting arrangement, accountabilities, and data sharing protocols. Adequate financial, human, and logistical resources are also important considerations for the operations of such mechanisms.<sup>5</sup>

#### *Good practice examples:*

Adaptation planning processes in the Philippines have been led by the Climate Change Commission of the Office of the President (CCC). The CCC works to integrate their identified adaptation priorities across sectors and levels of government by engaging the National Economic and Development Authority and local government units. For details, see [Philippines's Approach to Initiating Sector Integration of Adaptation Considerations](#).

In Jamaica, the Climate Change Division (CCD) within the Ministry of Water, Land, Environment, and Climate Change (now the Ministry of Economic Growth and Job Creation) was charged with coordinating adaptation activities across sectors including the public. To support the integration of adaptation into sectoral planning, a Climate Change Focal Point Network brought together representatives from all government ministries including Agencies, and these focal points reported to the CCD on progress and challenges in implementation of adaptation objectives. For further details, see [Jamaica's Approach to Initiating Sector Integration of Adaptation Considerations](#).

#### *Additional resources:*

- “Element A – Lay the Groundwork and Address Gaps,” Chapter 4 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Institutions for National Adaptation Planning,” presentation M II.2 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016

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<sup>5</sup> Drawn from NAP Technical Guidelines, A.1.B: “Designate the spearheading or coordinating mechanism”

### **Output 3.1.2: Stakeholder engagement frameworks and agreements**

Adaptation plans, as strategic national, sub-national or sectoral plans, provide guidance to planning and implementing adaptive responses to climate change at the national level and beyond. These efforts encompass not only government agencies and ministries, but also communities, the private sector, local municipalities, non-governmental organizations, academia, and other stakeholders.

Establishing frameworks and agreements to enable meaningful engagement of a wide range of stakeholders is critical to supporting an effective and durable adaptation planning process. Robust stakeholder engagement efforts help to bring knowledge, data, and on-the-ground context into the planning process. Such efforts ensure that adaptation planning processes and outputs are relevant to target audiences; they can facilitate the generation of ideas and impactful strategies; and they can help to build trust and support for implementation of adaptation plans. Indeed, such engagement is a priority embedded in the GCF's Environmental and Social Policy, Gender Policy, and Indigenous Peoples Policy; participatory and inclusive adaptation planning processes figure prominently in the Joint Principles for Adaptation developed by the Southern Voices coalition of climate networks and partners.

In establishing frameworks and agreements for stakeholder engagement, it is important to keep in mind that such engagement is critical through multiple stages of the NAP process: in assessing climate change impacts, vulnerabilities, and capacities; appraising and prioritizing adaptation options; developing and executing implementation strategies; and monitoring, reviewing, and iteratively updating adaptation plans.

#### *Good practice examples:*

Adaptation planning in Senegal is structured around ten priority sectors, guided by Regional Committees on Climate Change (COMRECCs) that are composed of representatives from the private sector, local authorities, and community organizations. Local adaptation plans for the fisheries sector were developed in consultation with local fisheries councils, which provided ready-made multi-stakeholder platforms for local governance, dialogue, and collaboration. The COMRECCs facilitate coordination and channel information between local and national actors. For further details, see [Linking Sectoral Adaptation Planning Processes at National and Subnational levels: Lessons from Senegal.](#)

In 2016, the Government of Uruguay initiated a thorough multi-stakeholder participatory process for the development of a National Climate Change Policy (PNCC). The process aimed to strengthen cross-sectoral and inter-institutional work and a deeper engagement at the territorial level. The development of the PNCC involved multiple meetings and over 275 participants from governmental agencies, local governments, academic and research institutions, private sector and civil society. The new PNCC calls for establishing institutional and inter-sectoral mechanisms for effective and informed participation of the various institutes related to climate change. For further details, see [National Adaptation Plan process in focus: Lessons from Uruguay.](#)

#### *Additional resources:*

- [Stakeholder Participation in Climate Change Adaptation Planning](#), US Agency for International Development, 2012
- [Environmental and Social Policy](#), Green Climate Fund, 2018

- *Gender Policy*, Green Climate Fund, 2019
- *Sustainability guidance note: Designing and ensuring meaningful stakeholder engagement on GCF-financed projects*, Green Climate Fund, 2019
- *Indigenous Peoples Policy*, Green Climate Fund, 2018
- *Joint Principles for Adaptation*, Southern Voices, 2018

### Output 3.1.3: Adaptation impact monitoring, evaluation and learning systems

Systems for monitoring, evaluation, and learning are critical to ensure that adaptation plans are moving in a direction to achieve adaptation goals and objectives. Such systems can shed light on which approaches are working (and those that aren't); they can provide information to guide management under uncertainty; they can help countries comply with national and international reporting requirements; and they can support accountability for climate finance.

Monitoring, evaluation and learning systems are useful throughout the adaptation planning process, beginning with plan design and the launch of the planning process. Information collected and assessed can inform regular updates of adaptation plans, and lessons learned should be integrated into subsequent actions of the planning process.

There is no one-size-fits-all approach for adaptation impact monitoring, evaluation and learning systems; indeed, decision-makers in different countries have designed different approaches depending on their contexts and purposes. Whatever the design of such systems, however, it is important to recognize that they should measure both the results of adaptation plans and actions, as well as the functioning and progress of the planning process itself.

#### *Good practice examples:*

The government of Kenya has focused on integrating M&E between county and national level governments and across sectors. The plan employs a phased approach, focusing first on priority sectors and indicators with available data. For further details, see [Kenya's Monitoring and Evaluation of Adaptation: Simplified, integrated, multilevel](#).

To evaluate progress under its National Plan for Adaptation to Climate Change, Colombia established a National System of Adaptation Indicators. Assessment based on the implementation of this system has revealed several lessons: First, M&E must assess not only changes in vulnerability and risk but also changes in management capacity and learning. Second, the selected indicators must match the adaptation policy priorities in order to influence decision-making. Third, indicators must be able to scale, so that national-level indicators do not minimize or obscure local-level impacts, and so that local-level indicators can be standardized in order to aggregate at a national-level. Fourth, M&E should be institutionalized through a country's NAP so that all responsible actors have clearly defined roles and clear technical guidelines. For more details, see [Colombia's Progress in Developing a National Monitoring and Evaluation System for Climate Change Adaptation](#).

#### *Additional resources:*

- "Element D – Reporting, Monitoring and Review," Chapter 7 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- "M&E of ACC in the NAP Process," presentation M V.1 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [Monitoring and assessing progress, effectiveness and gaps under the process to formulate and implement National Adaptation Plans: The PEG M&E tool](#), UNFCCC LDC Expert Group, 2015
- [Developing national adaptation monitoring and evaluation systems: a guidebook](#), GIZ, 2015

- *Monitoring and Evaluating Adaptation at Aggregated Levels: A Comparative Analysis of Ten Systems*, GIZ, 2014
- *Making Adaptation Count: Concepts and Options for Monitoring and Evaluation of Climate Change Adaptation*, GIZ and World Resources Institute, 2011



### Output 3.1.4: National, sub-national and/or sectoral plans

Plans related to climate change adaptation can take many forms. In addition to an official National Adaptation Plan or related process at the national level, adaptation considerations are often incorporated into broader development plans, sector-specific plans, and subnational plans. Indeed, the National Adaptation Plan process can encompass and support efforts to mainstream climate change adaptation considerations into a broad range of planning initiatives. Indeed, adaptation planning processes offer opportunities to strengthen policy coherence, ensuring that plans share common overarching goals and adaptation targets.

Regardless of the form or scope, it is important to give careful consideration to the ways in which plans are compiled and communicated, ensuring that broad stakeholder views and interests are included and addressed. It is also of key importance to understand that adaptation planning, in any form, should be viewed as a dynamic process that is more likely to succeed with ongoing management and adjustment.

#### *Good practice examples:*

In Grenada, adaptation action has been sector-driven. The government is using the NAP process as an opportunity to integrate sectoral plans into national policies, and thereby identify gaps and priorities. For more details, see [Grenada's Approach to Initiating Sector Integration of Adaptation Considerations](#).

Ecuador's Ministry of Environment has worked to create a supportive policy framework for managing climate change, including efforts to guide and support local adaptation planning. The Ministry included specific benchmarks and methodological guidelines for sectoral and local planning that contribute to climate change management, such as an "Organic code" for public planning and finance and an "Explanatory guideline" that guides the development of local climate change plans. For more details, see [National Adaptation Plans in Focus: Lessons from Ecuador](#).

#### *Additional resources:*

- "Element B, step 4: Compiling and communicating national adaptation plans," Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- "Element B, step 5: Integrating climate change adaptation into national and subnational development and sectoral planning," Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- "Element D, step 3: Iteratively updating the national adaptation," Chapter 7 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- [Vertical integration in NAP processes, NAP Global Network, 2015](#)
- "NAP as a living document," presentation M V.2 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016

### **Output 3.2.1: Climate hazard impact, vulnerability and risk studies**

Planning for effective adaptation activities requires a comprehensive understanding of climate impacts, vulnerabilities and risks. A stocktaking of available data and information can help to establish a knowledge base for the early stages of developing adaptation plans and can also identify critical gaps and needs for further assessment. Such stocktaking efforts can also assess capacity and associated capacity building and technology needs for undertaking studies to comprehensively assess impacts, vulnerabilities, and risks.

The focus of climate hazard impact, vulnerability and risk studies should be guided by what is needed to support and facilitate different planning approaches. Examples of such approaches are outlined in the NAP Technical Guidelines (Step B.1.B), and include:

- Taking a sectoral (e.g. agriculture) or even sub-sectoral (e.g. livestock) approach and delineating the individual and combined effects of changes in the climate variables on production methods, productivity and yields, assets, infrastructure, economic gains, in the short- and long-term;
- Taking a geographical approach and delineating the impacts of climate change on environmental assets, on key productive regions, or on rural versus urban settings;
- Assessing whether sectoral development goals become unattainable owing to climate change (e.g. aiming for a 4% annual growth rate in agriculture may not be realistic);
- Taking a socioeconomic approach and determining if changes in specific climate variables are likely to affect certain social groups or occupations more than others.

It should be noted that climate vulnerability is dynamic – it can vary with changing conditions of society, growing knowledge of climate impacts and risks, alterations in ecosystems and use of key resources such as land and water, etc. Therefore, adaptation plans should incorporate iterative assessments of climate vulnerabilities that can continue to inform adaptation strategies and activities over time. Similarly, adaptation plans should build on and incorporate existing efforts to respond to climate impacts. Iteratively assessing and addressing outstanding gaps and limitations is an important aspect of adaptation action.

#### *Good practice examples:*

The National Indicator System for Adaptation to Climate Change (SNIACC in Spanish) was developed by the government of Colombia to assess climate risk and monitor progress toward adaptation goals. The SNIACC includes 34 indicators that measure threat, exposure, sensitivity, and adaptation capacity and impact across multiple sectors. These indicators were combined with an even larger set of indicators at the municipal level to compile a comprehensive synthesis of risk and vulnerability for Colombia's Third National Communication on Climate Change. Colombia's experience shows that vulnerability and risk assessment can be addressed through different methodologies and can be effectively linked to monitoring and evaluation systems. For further details, see [Colombia's Progress in Developing a National Monitoring and Evaluation System for Climate Change Adaptation](#).

The government of Armenia has a long history of carrying out vulnerability assessments, which were reported in their First (1998), Second (2010), and Third (2015) National Communications to the UNFCCC. For the Third National Communication, vulnerability assessments were extended to regional level as well as multiple sectors. Armenia's Hydromet Service provides hydrometeorological data, including

information on extreme events and climate change. This solid information base on past and current climate changes, vulnerabilities, and impacts helps to inform the medium- to long-term adaptation planning efforts of the NAP. For further details, see [National Adaptation Plan process in focus: Lessons from Armenia](#).

*Additional resources:*

- “Element A, step 2: Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process,” Chapter 4 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element A, step 4: Comprehensively and iteratively assessing development needs and climate vulnerabilities,” Chapter 4 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element B, step 1: analyzing current climate and future climate change scenarios,” Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element B, step 2: Assessing climate vulnerabilities and identifying adaptation options at the sector, subnational, national and other appropriate levels,” Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Climate information for vulnerability assessments,” presentation M III.1 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [Integrating Climate Risk Information into NAPs, UN CC:Learn, 2019](#)
- [Designing Climate Vulnerability Assessments](#), USAID, 2018
- [A Framework for Climate Change Vulnerability Assessments](#), GIZ, 2014
- [The Vulnerability Sourcebook](#), GIZ, 2014
- Climate data and information sources:
  - [Resource Watch](#)
  - [Prepdata](#)
  - [Climate Service Center \(GERICS\)](#)
  - [EU Copernicus Programme Climate Data Store](#)
  - [WCRP CORDEX](#)
  - [IS-ENES Climate4Impact](#)
  - [IBM Global High-Resolution Atmospheric Forecasting System \(IBM GRAF\)](#)

### Output 3.2.2: Consolidation and sharing of climate studies

Before relevant climate information can be used for adaptation planning, it is critical to bring it together in a comprehensible and transparent manner and make it available to others. Many countries have found it useful to build up databases of impacts and vulnerabilities, which can then be used to inform further assessments and adaptation options. Over the long-term, a structured platform or database that systematically documents expert knowledge on impacts of climate change can help to avoid redundant assessments.

The consolidation of climate studies can take various shapes and formats, such as online databases that can be accessed and maintained by a variety of users or “state of the knowledge” reports that can be produced at early stages of the adaptation planning process and updated at specified timeframes to ensure that data is current for decision-making. A country may want to select its preferred form of synthesizing data according to such criteria as feasibility, availability, costs and expected benefits.<sup>6</sup>

#### *Good practice examples:*

In an effort to strengthen the knowledge base for adaptation, Liberia has developed its first interconnected online knowledge management platform. The platform is hosted by the Environmental Protection Agency, but is designed to synchronize existing climate information platforms used in other government departments. It allows national, regional and international networks and research institutes to connect and access the same climate information. The platform facilitates access to relevant climate data, events, workshops and training courses. It also serves as a repository of knowledge products, which will contribute to the sustainability of the NAP project and of national adaptation efforts in general by creating highly accessible information systems and strengthening capacity for knowledge sharing between different groups during and beyond the lifetime of the current project. For more details, see [National Adaptation Plans Report: Lessons from Liberia 2019](#).

South Africa's "Let's Respond" Toolkit and Platform supports local-level adaptation planning. The website includes tools such as vulnerability assessments, technical information such as long-term climate scenarios, planning supports such as templates for climate response plans, and a platform for stakeholder engagement by allowing public comment on draft plans. For further details, see [Information Sharing for Adaptation Planning at Sub-national Levels: South Africa's Let's Respond Toolkit](#).

#### *Additional resources:*

- “Element A, step 2: Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process,” Chapter 4 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012

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<sup>6</sup> Drawn from NAP Technical Guidelines, Step A.2.B

### **Output 3.2.3: Communication to relevant public, private and civil society decision makers and other stakeholders**

Clear, purposeful communication with stakeholders throughout an adaptation planning process is critical to ensuring that the evidence basis is understood and supported in designing and implementing adaptation plans. A strategic approach to communications can improve how governments engage citizens throughout adaptation planning processes. Awareness programmes can target specific stakeholder groups, using appropriate media, communication channels, platforms, and messages to share clear, accessible climate information.

Outreach efforts on climate change can be strengthened by sharing general climate change knowledge products that can be understood by non-climate specialists. These can focus on current and projected climate change impacts, vulnerability, and risks, and highlight opportunities for adaptation action broadly or for target groups, while inviting input into adaptation planning processes. All stakeholders of adaptation planning processes should have access to available climate information, ideally in a format that supports common interpretation of that information. Innovative communications approaches, including social media platforms and smartphone technology, should be considered for their value in sharing up-to-date climate information that is relevant to adaptation planning.

#### *Good practice examples:*

Saint Lucia's Climate Change Communications Strategy under its National Adaptation Planning process identifies key messages, priority audiences, and channels for information sharing. Key components include the establishment of a central climate website for the country which features both technical documents and multimedia (including technical climate information, music videos, animation, and news items) to reach both expert and public audiences; building national media capacity through workshops and climate-focused briefings; engaging charismatic spokespeople including musicians and artists; and surveys to measure public awareness of climate impacts and adaptation practices. For further details, see [Strategic Communications for the National Adaptation Plan \(NAP\) Process in Saint Lucia](#).

[In Kenya, CARE International's Adaptation Learning Programme for Africa has supported Participatory Scenario Planning workshops.](#) These multi-stakeholder forums bring together meteorological services, local forecasting experts, community members, key government ministries, researchers and local NGOs to share climate knowledge and translate it into actionable and locally relevant information. An important dimension of this work was building the capacity of County Directors of Meteorological Services (CDMS) for more effective communication of climate information. Specialized training helped the CDMS gain an appreciation of the value of collaborative generation and effective dissemination of climate information for key stakeholders designing adaptive responses. For further information, see [Facing Uncertainty: the value of climate information for adaptation, risk reduction and resilience in Africa](#).

#### *Additional resources:*

- “Element A, step 3: Addressing capacity gaps and weaknesses in undertaking the NAP process,” Chapter 4 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element B.1.C: Communicate projected climate change information to all stakeholders and the public,” Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012

- “Element B, step 4: Compiling and communicating national adaptation plans,” Chapter 5 in [\*National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process\*](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element D, step 4: Outreach on the NAP process and reporting on the progress and effectiveness,” Chapter 7 in [\*National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process\*](#), UNFCCC Least Developed Countries Expert Group, 2012
- [\*sNAPshot: Strategic Communications for National Adaptation Plan \(NAP\) Processes\*](#), NAP Global Network, 2018
- [\*Guidance Note for Developing a National Climate Change Learning Strategy\*](#), UN CC:Learn, 2018

### Output 3.2.4: Policy and regulatory frameworks

One objective of adaptation planning processes is to facilitate the integration of adaptation considerations, based on a reliable evidence base, into relevant policies and programmes. Therefore, it is vital to consider the alignment of adaptation planning processes with existing relevant policy and planning procedures, thereby identifying relevant entry points for adaptation planning strategies—and the mainstreaming of adaptation considerations—into existing policy cycles.

Policy and regulatory frameworks can also support the integration of adaptation considerations into private sector action. As discussed in more detail under Output 3A, public policies can help correct market imperfections that act as barriers to adaptation investment, enabling markets to allocate capital more efficiently and driving greater investment in adaptation action.

#### *Good practice examples:*

Bangladesh has a long history of integrating climate information and adaptation considerations into policy, planning, and budgeting. Adaptation is included in the key national development plan and in related Annual Development Plans, in which climate change screening tools have been integrated into development project proposals. Adaptation has been integrated to a limited degree in key sectoral policies, such as water and agriculture. Based on the government’s experience with vulnerability assessment, a Climate Vulnerability Index is under development, which is expected to be one of the decision-making tools for allocation of resources to the most vulnerable areas. For further details, see [National Adaptation Plans in focus: Lessons from Bangladesh](#).

In Armenia, evidence stemming from successful adaptation actions has contributed to policy change. For example, the Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia project promoted a range of adaptation-related policies, such as bans on agriculture waste in agricultural lands adjacent to forests. In the context of rising temperatures, such waste can exacerbate the risk and severity of forest fires. For further details, see [National Adaptation Plan process in focus: Lessons from Armenia](#).

#### *Additional resources:*

- “Element C, step 1: Prioritizing climate change adaptation in national planning,” Chapter 6 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Element C, step 2: Developing a (long-term) national adaptation implementation strategy,” Chapter 6 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- [NAP Align: Recommendations for aligning national adaptation plan process with development and budget planning, GIZ, 2014](#)
- “Mainstream adaptation into development planning,” presentation M III.4 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [From Planning to Action: Mainstreaming Climate Change Adaptation into Development](#), World Resources Institute, 2018

### **Output 3.3.1: Policy guidelines and regulations to remove barriers and incentivise adaptation investment, supported by technical assistance to develop financial products for private investment.**

Many private enterprises are responding to climate change and mainstreaming adaptation activities and the management of climate risk into their business planning and practices. And as climate change drives the emergence of new markets, private enterprises are responding to new business opportunities in the development of products, technologies, and services that can assist adaptation efforts.

Nevertheless, market imperfections can make it difficult to perceive the costs associated with climate change risks and accurately value the benefits associated with adaptation action. These market imperfections (including incomplete and asymmetric information, imperfect capital markets, and positive externalities, described in Box 1) can create a shortfall in adaptation investment. Public policies can help to address these market imperfections, enabling markets to allocate capital more efficiently and driving greater investment in adaptation.

#### **Box 1: Tools for Addressing Barriers**

Governments can use a range of known policy and financial instruments to mobilise private sector finance towards investments that build climate resilience and promote the adoption of adaptation technologies:

- **Addressing incomplete and asymmetric information:** Such as publicly funded information campaigns to provide accurate information and knowledge on climate impacts, as well as to showcase promising adaptation strategies. For private enterprises, raising awareness of adaptation risks, costs and options will strengthen their capacities to identify and invest in appropriate adaptation measures.
- **Addressing imperfect capital markets:** Such as ensuring adequate supply of finance for adaptation and resilience investments. Providing long-term public finance for on-lending can adjust for financial markets that fail to provide sufficient volumes of affordable, long-term debt. In addition, credit enhancement in the form of governmental guarantees can reduce the risk of adaptation-related lending to smaller enterprises for lenders. Public auctions of credit guarantees to commercial banks can further reduce the burden to public finance institutions and reduce the cost of borrowing to micro, small or medium enterprises (MSMEs) or corporations, which has a knock-on effect of freeing up capital for further investment in other activities.
- **Addressing positive externalities of adaptation-related investments:** Such as using grants or subsidies to internalise the social benefit of a public good. Positive externalities can be internalised through financial instruments, such as taxes or subsidies that capture the value of the positive externality and provide reimbursement to the investor. This will improve the return from the investors' perspective and could bring it closer to the true value ("social rate of return") of the adaptation activity.

Source: Demystifying Adaptation Finance for the Private Sector, UNEP, 2016

#### *Good practice examples:*

In Tajikistan, climate-resilience agribusiness has been given a boost through the government's efforts to introduce certification and labeling standards for agro-biodiversity-friendly products, which immediately increased their market value. For further details, see pages 68-69 of [\*Adapting from the Ground Up: Enabling Small Businesses in Developing Countries to Adapt to Climate Change.\*](#)



To increase the security of its port operations, the Brazilian-based metals and mining company Vale partnered with the state government of Espírito Santo to invest in the Capixaba Hydrometeorological Monitoring Center (CCMH), a state-of-the-art weather forecast and alert system. Information produced from the CCMH is used not only by Vale for all its operations in the state, but also by the local government to prepare for extreme weather events. For more details, see pages 70-72 of [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#).

*Additional good practices:*

- Identify and address policies, codes and regulations that create barriers or inhibit private sector action to build resilience.<sup>7</sup>
- Develop policy and regulatory frameworks to guide responsible corporate adaptation practices, and work with local business associations to promote systematic information sharing.<sup>8</sup>
- Stimulate the market for adaptation through financial and risk reduction incentives and address market failures in building climate resilience.<sup>9</sup>
- Consider providing financial incentives and opportunities to stimulate the uptake of climate-resilient technologies and services, such as subsidies for sustainable agricultural equipment, resilient design competitions, micro-insurance for smallholder farmers, co-financing for research and development of new products and services or preferential tariffs for sustainably sourced products.<sup>10</sup>

*Additional resources:*

- [\*Demystifying Adaptation Finance for the Private Sector\*](#), UNEP, 2016
- [\*Adapting from the Ground Up: Enabling Small Businesses in Developing Countries to Adapt to Climate Change\*](#), World Resources Institute and UNDP, 2015
- [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

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<sup>7</sup> [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

<sup>8</sup> [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

<sup>9</sup> [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

<sup>10</sup> [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

### **Output 3.3.2: Private sector actors engaged in national, sectoral and/or sub- national adaptation planning**

Private sector actors are among the key stakeholders who should be involved in assessing climate risks and in planning for adaptation. In developing countries, businesses and investors are the key engines of economic growth, accounting for 90 percent of jobs, 80 per cent of capital flows, and 60 per cent of gross domestic product.<sup>11</sup> For adaptation plans to be successfully implemented and climate resilience strengthened, private sector actors—ranging in size, sector, motivation and whether they operate in the formal or informal sector—will need to be involved in risk assessment, planning, implementation, and monitoring and evaluation of adaptation planning processes.

Governments should ensure that coordinating mechanisms and stakeholder engagement frameworks involve representatives from the private sector in order to allow enterprises and financiers to make their priorities, needs and constraints known. Engagement with the private sector can also provide important opportunities to share climate information related to risks and opportunities that are pertinent to supply chains and business operations.

#### *Good practice examples:*

In partnership with the state government of Espírito Santo, Brazilian-based mining company Vale implemented a short-term forecasting programme to monitor and issue weather warnings to prepare its port facility for extreme weather. Vale actively participated in meetings with government and business organizations to develop a Brazilian National Adaptation Plan. For more details, see pages 70-72 of [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#)

In Senegal, Local Artisanal Fishing Councils (CLPAs) bring together a range of private sector actors involved in artisanal fishing (fishermen, fishmongers, fish processors, carpenters, mechanics and porters) with elected local officials, neighborhood delegates, and local administrators from a particular location. When the Ministry of Fisheries and Maritime Affairs launched the NAP-fisheries process, CLPAs were engaged as key stakeholders at the local level, helping to ensure that perspectives of local actors in the fisheries sector were captured in the planning. For further details, see [Linking sectoral adaptation planning processes and national and subnational levels: Lessons from Senegal](#)

#### *Additional resources:*

- [Toolkit for Engaging the Private Sector in National Adaptation Plans, NAP Global Network and UNFCCC Adaptation Committee, 2020](#)
- [Engaging the Private Sector in National Adaptation Planning Processes, NAP Global Network, 2019](#)
- [Webinar: Advancing National Adaptation Planning: Engaging the private sector, NAP Global Network, 2019](#)
- [The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience](#), UN Global Compact, UNFCCC, and UNEP, 2015

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<sup>11</sup> [Engaging the Private Sector in National Adaptation Planning Processes, NAP Global Network, 2019](#)

### **Output 3.3.3: Adaptation planning for climate resilience of individual businesses and supply chains**

Private sector actors may lack the information and capacities needed to understand and use climate data and information, and to integrate climate risk management into standard business operations. Governments can help by generating and providing local risk and climate change impact information, including cost-benefit analysis, in a format and at a scale that private sector actors can use to inform their adaptation analysis and actions. Governments should consider co-producing this information with private sector stakeholders to ensure the information is tailored to be effective.

Armed with this information, private sector actors are in a better position to plan for ways to strengthen the resilience of their medium- to long-term business operations (or plan for phasing out/starting new business lines), as well as participate in relevant national, sub-national, and sectoral adaptation planning processes.

#### *Good practice examples:*

Eskom, the South African public electricity utility, established an internal framework to identify climate vulnerabilities to infrastructure, develop strategies to mitigate risk, and implement its climate change adaptation plan. For further details, see pages 40-42 of [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#).

Building on ten years of experience in sustainable coffee production, Nespresso is amplifying its actions by investing in agroforestry, an adaptation solution for producers. For more details, see pages 52-54 of [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#).

#### *Additional resources:*

- [\*Engaging the Private Sector in National Adaptation Planning Processes\*](#), NAP Global Network, 2019
- [\*The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience\*](#), UN Global Compact, UNFCCC, and UNEP, 2015

### **Output 3.3.4: Marketplaces and other means of matching private financiers with solutions**

With adequate information in hand related to climate risk and costs and benefits of adaptation options, governments can work with the private sector as they develop pipelines of bankable adaptation projects for priority sectors.

Governments can facilitate efforts in which private financiers—including commercial banks, microfinance institutions, insurance companies, institutional investors, private equity and venture capital investors, private foundations and charities—can offer direct financing to private enterprises for adaptation action, and can support government interventions through public–private partnerships.

#### *Good practice examples:*

In 2018, the Mexican state of Quintana Roo established the Coastal Zone Management Trust with participation of Mexico's National Commission of Natural Protected Areas, The Nature Conservancy, and partners in the local science community and tourism industry. The Trust collects and manages funds for coral reef maintenance and repair, an important strategy for protecting coastal communities from storm damage. The funds are replenished through an existing fee paid by beachfront property owners, among other private and public sources. For more details, see [Insuring Nature to Ensure a Resilient Future](#).

The effects of climate change, deforestation, and pollution are dramatically impacting clean water supply in many places around the world, leading many to view fresh water as a valuable good that deserves investment. In Ecuador, the Quito Water Fund, also known as FONAG, provides financing to protect the watersheds that supply 80 percent of Quito's fresh water. Initially seeded with a \$20,000 investment from The Nature Conservancy in 2000, monthly contributions from Quito's water and electric companies now generate nearly \$1 million each year in disbursements for conservation projects in the watersheds. FONAG's experience has served as a model for similar water fund projects the across the Latin American region. For further details, see [Creating Water Funds for People and Nature](#).

#### *Additional resources:*

- [The Business Case for Responsible Corporate Adaptation: Strengthening Private Sector and Community Resilience](#), UN Global Compact, UNFCCC, and UNEP, 2015
- [Demystifying Adaptation Finance for the Private Sector](#), UNEP, 2016

### Output 3.4.1: Financing strategies for specific adaptation priorities

A comprehensive financing strategy to support the adaptation priorities identified through the adaptation planning processes would define funding sources with high potential, including private and public, domestic and international funding sources. Such a strategy should consider a combination of funding options from domestic public resources, private investments, and international development assistance), and may make use of instruments such as grants, debt, equity and others.

A financing strategy may also include a prioritized pipeline of adaptation programmes and project ideas for submission to GCF and other funders, drawing on prioritization criteria as relevant. Ideally, a comprehensive financing strategy would explore blended finance options to use development finance or philanthropy to mobilize private financing for adaptation.

#### *Good practice examples:*

Among Cambodia's guiding plans and frameworks for its NAP is the NAP Financing Framework and Implementation Plan. Launched in 2017, its aim is to increase the possibilities for Cambodia to access additional adaptation finance. The plan identified gaps, priority actions and costs, funding options at domestic and international levels, and set out an implementation plan to identify resources for priority actions. For more details, see [Funding Adaptation Through Cambodia's National Budget](#).

Mainstreaming adaptation planning and budgeting into sectoral development plans through line ministries is the key priority for Albania's adaptation finance plan. The Ministry of Finance played a leadership role in requiring the line ministries to include adaptation in their biannual budgets. For further details, see [Albania's Approach to Integrating Adaptation into Domestic Budgeting](#).

In Kenya, County Climate Change Funds (CCCFs) are "devolved finance mechanisms under the authority of each county government that promote mainstreaming of climate change adaptation into local planning and budget systems," while blending funds from local budgets, international climate finance, MDBs and the private sector. CCCF legislation mandates budget allocations for climate adaptation, creating a stable source of domestic revenue that encourages international climate finance investment. For further details, see [Kenya's County Climate Change Funds](#).

#### *Additional resources:*

- [NAP Align: Recommendations for aligning national adaptation plan process with development and budget planning](#), GIZ, 2014
- [Financing NAP processes: contributing to the achievement of NDC adaptation goals](#), NAP Global Network, 2017
- [Financing local adaptation to climate change](#), UNCDF, 2018
- "Financing Adaptation," presentation M IV.2 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [Webinar: Strategies for financing NAP implementation](#), NAP Global Network, 2018
- [Video: Financing NAP Processes: Contributing to the Achievement of NDC Adaptation Goals](#), NAP Global Network, 2018
- [Finding the Money – Financing Climate Action](#), UNCC:e-Learn, n.d.

### **Output 3.4.2: Project and programme concept notes**

Adaptation planning processes offer ideal opportunities for the development of concept notes that address urgent adaptation priorities. As stakeholders advance through adaptation planning processes, ideally those processes will result in the identification of prioritized adaptation options. Committing to translating the highest priority adaptation options into concept notes can help to mobilize further funding for adaptation action in a timely and efficient manner.

Concept notes present a summary of proposed projects/programmes to the GCF in order to receive feedback from the Secretariat on whether the concept is aligned with GCF objectives, policies, and investment criteria. Ideally, concept notes will also be aligned with country priorities as defined in the country programme, the Nationally Determined Contribution, or the NAP. Feedback from GCF will provide information to further develop and strengthen the project/programme idea. Adaptation planning support from GCF's Readiness Programme can encompass concept note development, and additional support is available through GCF to develop concept notes into full proposals including through the Project Preparation Facility.

Concept notes can describe ideas for adaptation efforts within the public or private sector; they can be in response to a request for proposals, or an original idea for a project/programme. They should, among other things, describe the adaptation result area and include an estimate of the total number of direct and indirect beneficiaries. They should include an estimated total cost of activities and specify the amount of the total requested from GCF.

Countries may follow different processes for developing concept notes. Often accredited entities identify and develop project ideas internally. Other times they will solicit ideas or concept notes from other institutions, including executing entities or the NDA.

#### *Good practice examples:*

To develop ideas for concept notes, the government of Colombia conducted open consultation sessions around the country, inviting more than one thousand people across sectors and stakeholder groups. They collected over one hundred adaptation initiative proposals, and conducted a robust exercise to prioritize projects (including a pitching exercise, where individuals presented ideas to a panel and responded to questions). Six of the proposals moved forward and were matched with consulting firms to fully develop them into concept notes.

To support coordinated and timely NAP implementation, St. Lucia developed Sectoral Adaptation Strategies and Action Plans (SASAPs) and linked portfolios of project concept notes for the [agriculture](#), [water](#), and [fisheries](#) sectors. The concept note portfolios align directly with the NAP to create a coherent flow of priorities from the planning to the projects phase. The concept notes reflect the inputs of stakeholders from public, statutory, academic and private sector entities. The project concept notes are designed for measures to improve legal, regulatory and institutional frameworks and enhance capacities for designing and implementing adaptation projects in addition to sector-specific aims for promoting resilience, scaling adaptation, and engaging private and public sectors.

To develop a pipeline of bankable projects, Costa Rica is finalizing their [NDC investment plan](#) which will link to their NAP project pipeline. The aim of this linkage is to increase coherence around national adaptation goals and long-term sustainability of selected projects.

*Additional resources:*

- [Concept Note User's Guide](#), GCF, 2016
- [Concept Note Template](#), GCF, 2016
- [Webinar: Unlocking NAP Finance: Methodologies for Adaptation Project Formulation](#), NAP Global Network, 2019

### Output 3.4.3: Systems for prioritising adaptation project ideas

Systems for prioritizing the most appropriate or relevant adaptation strategies should take into account where climate impacts are likely to be most severe and who or which systems are most vulnerable. Such systems should also include consideration of a set of criteria that is in line with national goals for sustainable development. The criteria to be used at the national level may include timing/urgency for action, cost, co-benefits, gender responsiveness, political or social acceptability, efficacy, and flexibility or robustness.

Categorizing adaptation options in terms of low regrets or high risk is one approach to undertaking this process. Lessons learned from the piloting of various adaptation initiatives and projects should also be taken into account.

Stakeholder engagement in identifying criteria for prioritization of project ideas is vital, and dialogue on prioritization and ultimate selection of project ideas will help to ensure buy-in for the results.

#### *Good practice examples:*

In Cambodia, the NAP Financing Framework included a prioritization process that identified 40 priority adaptation actions derived from a list of unfunded actions from sectoral adaptation plans. These actions were prioritized for funding based on guidance from the Green Climate Fund and the Adaptation Fund. For further details, see [Funding Adaptation Through Cambodia's National Budget](#).

Several county governments in Kenya have established County Climate Change Funds (CCCFs) that identify and prioritize adaptation actions for investment to reduce climate risk and achieve adaptation objectives. Technical assistance and capacity building were provided to county governments and communities to enable them to strengthen and reinforce national climate change policies while delivering on local adaptation priorities. For more information, see [Kenya's County Climate Change Funds](#).

#### *Additional resources:*

- “Element B, step 3: reviewing and appraising adaptation options,” Chapter 5 in [National Adaptation Plans: Technical Guidelines for the National Adaptation Plan Process](#), UNFCCC Least Developed Countries Expert Group, 2012
- “Develop and select adaptation options,” presentation M III.2 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [Making the right choices – prioritizing adaptation options](#), UNCC:e-Learn, n.d.
- [Economics of Climate Adaptation \(ECA\) – Guidebook for Practitioners: A Climate Risk Assessment Approach Supporting Climate Adaptation Investments](#), KfW Development Bank, 2016



### Output 3.4.4: Systems for tracking adaptation finance

The identification and tracking of domestic finance that addresses climate change strengthens the ability to make informed decisions regarding the allocation of resources toward priorities identified in adaptation planning processes. Tracking adaptation-related expenditures from international sources is also useful in identifying the additionality in development costs due to climate change; over time, accurate tracking of this kind can result in new or component grant financing for development loans secured by national governments from international markets.

Before adaptation finance can be tracked, a clear understanding of what constitutes adaptation finance is needed. This can be challenging, since climate resilience and adaptation are intrinsically linked to development, and it can be difficult to estimate adaptation finance in the context of development initiatives. Various approaches, including those outlined in the OECD-DAC Rio Markers system and the MDB Working Group on Climate Finance Tracking, are included in the references below.

Effective systems for tracking adaptation finance may require capacity strengthening at various levels of government to collect and analyze the information related to adaptation investments. Such efforts also require clear definition of roles and responsibilities in tracking and monitoring the impacts of adaptation finance.

#### *Good practice examples:*

Cambodia tracks domestic and international public climate finance flows through periodic Climate Public Expenditure and Budget Reviews which are carried out by the Ministry of Economy and Finance and the National Council for Sustainable Development, which coordinates the NAP process. These reviews are essential to assessing the extent to which public resources are contributing to the implementation of the NAP process. For further details, see [Funding Adaptation Through Cambodia's National Budget](#).

The government of Uganda has begun integrating climate-related indicators into its existing performance measurement framework to track adaptation-related outputs of investments. To complement this, the Ministry of Finance, Planning and Economic Development and the World Bank have been developing climate budget tracking systems to identify, ex-ante, annual adaptation-related expenditures. All line ministries and districts are expected to implement this system in the 2020-2021 fiscal year, eventually providing a common annual tracking mechanism for both government and civil society organizations to use in planning and advocacy. For further details, see *Following the Money isn't Enough: Lessons for Building National Accountability Systems for Adaptation Finance*.

#### *Additional resources:*

- [Climate Public Expenditure and Institutional Review \(CPEIR\): A Methodological Guidebook](#), UNDP, 2015
- "Financing Adaptation," presentation M IV.2 in [National Adaptation Plan \(NAP\) Country-Level Training](#), NAP Global Support Programme, 2016
- [OECD DAC Rio Markers for Climate](#), OECD, n.d.
- [Joint Report on Multilateral Development Banks' Climate Finance](#), Inter-American Development Bank, 2019