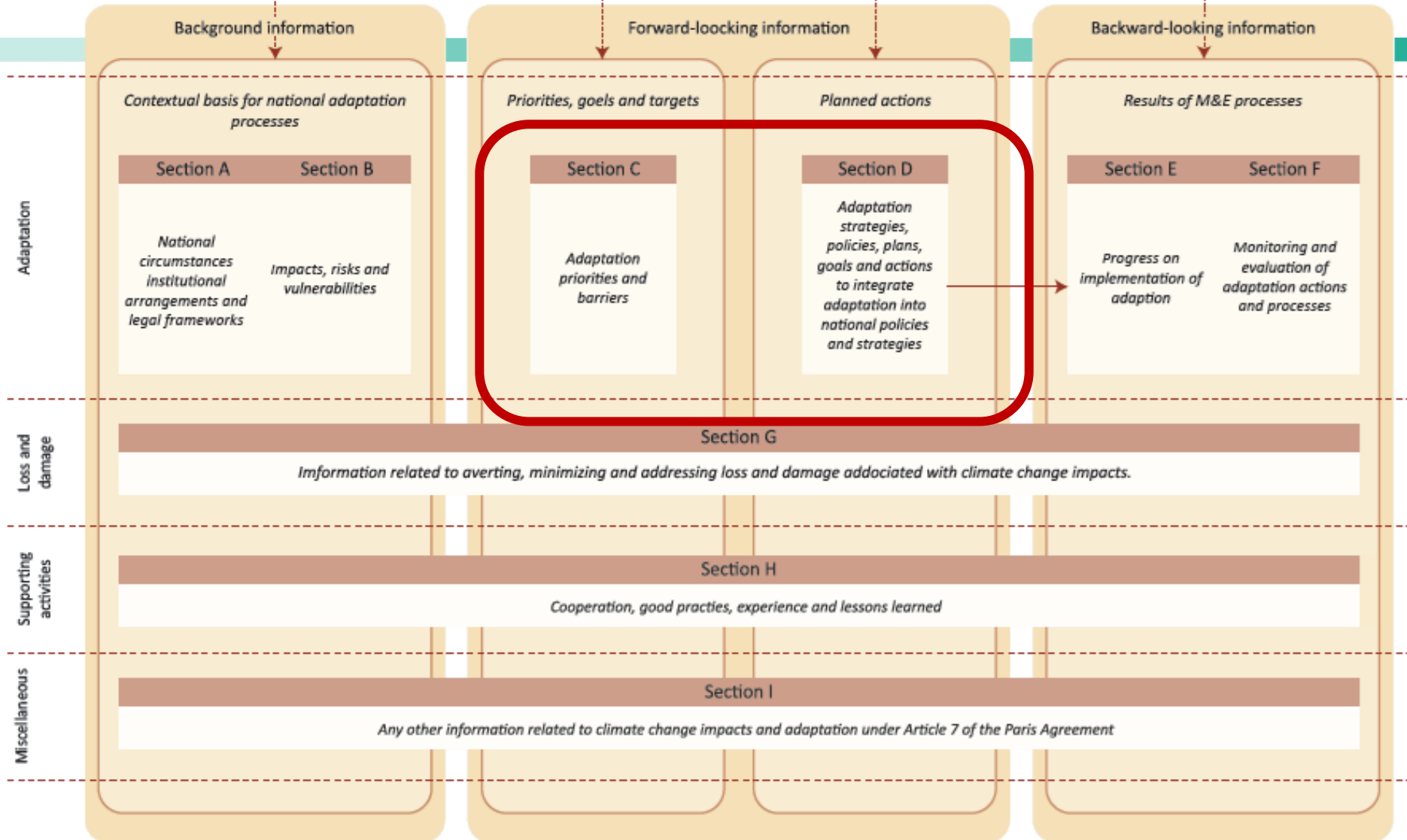
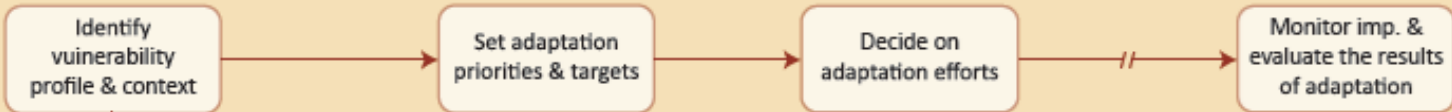
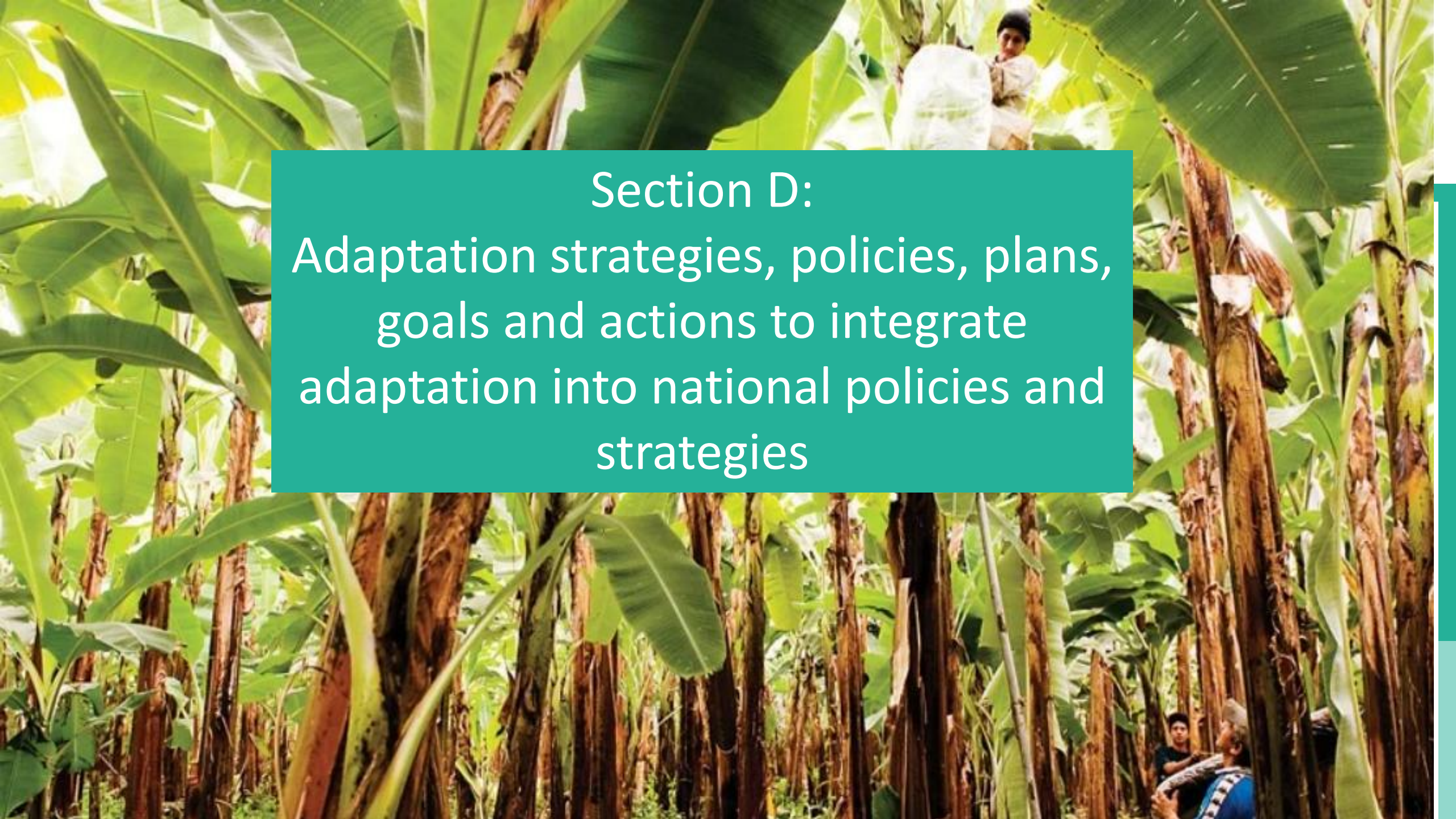




An overview of sections
D, E and F

Different stages of the national adaptation process (also known as the iterative adaptation process)



A photograph of a banana plantation. In the upper part, a worker is visible amidst the large green leaves, holding a white bag. The lower part shows a dense stand of banana plants with their brown, fibrous trunks. In the bottom right corner, another worker is partially visible, wearing a blue patterned garment. The overall scene is lush and green, with sunlight filtering through the canopy.

Section D:
Adaptation strategies, policies, plans,
goals and actions to integrate
adaptation into national policies and
strategies

Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies

109. Each Party should provide the following information, as appropriate:

- (a) Implementation of adaptation actions in accordance with the global goal on adaptation as set out in Article 7, paragraph 1, of the Paris Agreement;
- (b) Adaptation goals, actions, objectives, undertakings, efforts, plans (e.g. national adaptation plans and subnational plans), strategies, policies, priorities (e.g. priority sectors, priority regions or integrated plans for coastal management, water and agriculture), programmes and efforts to build resilience;
- (c) How best available science, gender perspectives and indigenous, traditional and local knowledge are integrated into adaptation;
- (d) Development priorities related to climate change adaptation and impacts;
- (e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;
- (f) Efforts to integrate climate change into development efforts, plans, policies and programming, including related capacity-building activities;
- (g) Nature-based solutions to climate change adaptation;
- (h) Stakeholder involvement, including subnational, community-level and private sector plans, priorities, actions and programmes



Adaptation actions

How adaptation actions were designed and selected

Adaptation actions

Adaptation actions

The **main request for countries to report on adaptation actions planned is found in bullet point (b)** which asks for information on 11-different types of adaptation action that countries could be reported on...

"Adaptation [i] goals, [ii] actions, [iii] objectives, [iv] undertakings, [v] efforts, [vi] plans (e.g. national adaptation plans and subnational plans), [vii] strategies, [viii] policies, [ix] priorities (e.g. priority sectors, priority regions or integrated plans for coastal management, water and agriculture), [x] programmes and [xi] efforts to build resilience"

Due to the *catch-all* nature of this list, **countries can interpret this to mean that all types of adaptation action are relevant to report on...**

Adaptation actions

While **bullet point (b) essentially makes it clear that all adaptation actions are relevant to report** on...

Bullet points (e), (f) and (g) specifically reference that adaptation actions should be reported on in if they either:

- Have mitigation co-benefits
- Constitute mainstreaming,
- Qualify as being a 'nature-based solution'.

Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies

109. Each Party should provide the following information, as appropriate:

- (a) Implementation [...]
- (b) Adaptation goals, actions, objectives, undertakings, efforts, plans (e.g. national adaptation plans and subnational plans), strategies, policies, priorities (e.g. priority sectors, priority regions or integrated plans for coastal management, water and agriculture), programmes and efforts to build resilience;
- (c) How [...];
- (d) Development [...];
- (e) Any adaptation actions and/or economic diversification plans leading to mitigation co-benefits;
- (f) Efforts to integrate climate change into development efforts, plans, policies and programming, including related capacity-building activities;
- (g) Nature-based solutions to climate change adaptation;
- (h) Stakeholder [...]

Adaptation actions

Relatively **little guidance (if any)** is given relating to what information countries could, or should, actually **include when they report on these actions...**

Bullet point (a) however, **might** be asking countries to include information about **how their actions contribute to the various dimensions of the global goal on adaptation** (see below).

*"(a) **Implementation of adaptation actions in accordance with the global goal on adaptation** as set out in Article 7, paragraph 1, of the Paris Agreement"*

Adaptation actions

In general, **bullet point (a) is quite vague...**

However, as the global goal on adaptation is:

*“[to] **enhance adaptive capacity, strengthen resilience and reduce vulnerability** to climate change, with a view to **contributing to sustainable development and ensuring an adequate adaptation response** in the context of the global temperature goal”*

If we interpret it like this, countries could meet this request by describing how actions included in BTRs are:

- Expected to **enhance adaptive capacity, strengthen resilience, reduce vulnerability** to climate change, and/or...
- Expected to **contribute to sustainable development.**

Providing this information will allow the report's audience to understand the aims and ambitions of the action being documented... (i.e. it will inform the reader about what impact the action is intended to have)

Adaptation actions

In addition to what is (or might be) outlined by the guidelines...

Countries could provide further information about their planned actions.

Additional information *could* include information about:

- The **inputs allocated** to an action (e.g. budgets, amount of land set aside for nature-based solutions)
- Details about its implementation (e.g. more information about the work to be conducted, identifying the implementing actors and intended beneficiaries, describing the geographic scope or the action's lifespan).

Adaptation actions

Supplying additional information that better describes the adaptation actions being included in a BTR will better enable the report's audience to get a more in-depth and tangible understanding of the nature and scope of the action being documented...

While **it is not practical or desirable to do this for every action** being reported on...

Countries might want to provide more descriptive information about certain adaptation actions when they want to:

- **Gain recognition** for, or draw attention to, a particular action
- Use the report to **share lessons learned, experiences, good practices...**

How these adaptation actions were designed and selected

How these adaptation actions were designed and selected

Section D also asks countries to provide information about:

How **'best available science'**, **'gender perspectives'**, and **'indigenous, traditional and local knowledge'** have been integrated into (or considered in) the process for designing adaptation actions.

How **development priorities** have been integrated into (considered in) the process for designing adaptation actions?

How, or to what extent, **stakeholders** have been engaged in the adaptation planning process?

Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies

109. Each Party should provide the following information, as appropriate:

- (a) Implementation [...]
- (b) Adaptation [...]
- (c) How **best available science**, **gender perspectives** and **indigenous, traditional and local knowledge** are integrated into adaptation;
- (d) **Development priorities** related to climate change adaptation and impacts;
- (e) Any [...]
- (f) Efforts [...]
- (g) Nature-based [...]
- (h) **Stakeholder involvement**, including subnational, community-level and private sector plans, priorities, actions and programmes

How these adaptation actions were designed and selected

While the information requested by the guidelines is refers to specific principles and good practices...

It might make sense for countries to **provide this information as part of a broader description of the processes through which adaptation actions have been designed and selected** (i.e. the prioritisation process).

Prioritisation processes typically follow the selection of priority areas for adaptation and the analysis of barriers (that we referred to in section C), and include:

- Processes for identifying adaptation options
- Processes for designing adaptation actions, and...
- Processes for reviewing and appraising these options over time.

The process of designing and selecting adaptation actions is a fundamental component of developing adaptation planning documents, including NDCs and NAPs...

As such, **one would expect information about how these processes were conducted** (i.e. the modalities and procedures, and which actors were involved), **to be found within these planning documents.**

How these adaptation actions were designed and selected

• Example – Fiji's NAP (2018)

To see an example of **how this information might be included in adaptation planning documents**, one can look at Fiji's NAP.

In Section Six of their NAP, Fiji provide a clear and informative description of how adaptation actions are prioritised in their NAP have been selected.

This includes information about:

- The criteria against which actions were selected, and...
- The actors (**stakeholder**) involved in the selection process.

Further, this section of the NAP also provides detailed about how ecosystem, human rights and gender-based approaches (which are also development priorities of Fiji, embedded in the country's bill of rights) were considered in the action selection process.

Introduction

All prioritised actions contained in Sections 7-16 have been selected via the prioritisation process. This process converted the values and criteria contained within the NAP Framework into a participatory and inclusive multi-criteria analysis.²³ The analysis was applied to actions provided through the stocktake process. The results of this analysis subsequently yielded the prioritised actions for Sections 7-16. The analysis also condensed actions provided through the stocktake process when appropriate and removed actions deemed inappropriate.²⁴

The following criteria were applied to selected actions as a group:

- 1) Avoid creating parallel processes by integrating environmental and climate risk into existing development planning processes.
- 2) Tackle structural causes of vulnerability and not its symptoms.
- 3) At least partially adopt ecosystem-based adaptation principles when applicable.
- 4) Promote outcomes which equitably benefit low-income and otherwise disadvantaged groups, including the promotion of gender responsiveness outcomes within development planning processes.
- 5) Acknowledge the role of the private sector and attempt to leverage support.
- 6) Promote use of both traditional and scientific knowledge when applicable.
- 7) Promote inclusive and collaborative processes and coordination among stakeholders.
- 8) Support robust decision-making processes across range of climate scenarios.
- 9) Support better management environmental, societal, and economic trade-offs.
- 10) Tackle known adaptation barriers or vulnerability to environmental and climate hazards and risks.

The Climate Change and International Cooperation Division acted as the administrative lead for the prioritisation process.²⁵ The prioritisation process for each section was assigned a technical lead – the government entity most closely associated with its implementation – whose responsibility was to facilitate the prioritisation process while in session. Experts and other stakeholders relevant to each NAP component were identified to support the prioritisation process.

Sections 7-16 of this NAP all contain implementation considerations relating to these issues. Particular attention has been given to the need for prioritised actions to at least partially adopt ecosystem-based approaches and gender and human rights-based approaches to adaptation. Consequently, they are described in more detail in the remainder of this section.

Ecosystem-Based Adaptation

The identification and integration of 'ecosystem-based' approaches into adaptation planning processes was vital because it is well established and accepted that society's exposure and

Ecosystem-Based Approaches to Adaptation Planning

Operationalising an ecosystems-based approach to adaptation planning can have multiple interpretations and the NAP makes no attempt to control its usage. However, this NAP notes that ecosystem-based approaches to adaptation could mean:

Gender and Human Rights-Based Adaptation

The identification and integration of gender and human rights issues and approaches into adaptation planning processes was vital because it is well established and accepted that exposure and sensitivity to climate change, as well as the capacity to adapt, vary substantially across social and economic groups. Additionally, it is well established and accepted that this is due to non-climatic factors and existing inequalities. Therefore, vulnerability to climate change cannot

Gender and Human Rights-Based Approach to Adaptation Planning

Operationalising a 'gender and human rights-based' approach to adaptation planning requires that the differentiated impacts and degrees of vulnerability across societal groups be established.²⁶ It also requires that members of low-income and otherwise disadvantaged groups are identified as 'active agents of change', rather than being identified as a 'vulnerable group'

Some thoughts on reporting on adaptation actions

Some thoughts on reporting on adaptation actions

Countries can approach reporting on adaptation actions in a wide variety of ways.

In an ideal scenario, countries would be able to provide a full catalogue of the adaptation actions being undertaken by their national government (as well as other non-state actors).

In reality however, this is a big ask (potentially impossible) as:

- Logistically ensuring that all adaptation is documented and tracked in centralised databases difficult, particularly if adaptation is being implemented by sub-national governments or non-state actors.
- Conceptual issues such as what is adaptation and what is (for example) development, blur the lines about what should and shouldn't be reported on
- The task would only grow in size as the adaptation processes of countries expand over time

Some thoughts on reporting on adaptation actions

As such, before preparing to report on adaptation actions in the BTR (and other national reports), countries will need to ask themselves:

What actions (or types of actions) do they want to report on?

Some thoughts on reporting on adaptation actions

Answering this question will involve considering:

What we want to achieve through reporting on adaptation actions?

- Do we want to gain recognition for our adaptation efforts (e.g. for progress made in implementing our NAP or NDC)?
- Do we want to share good practices or lessons learned?
- Do we want to demonstrate that we are implementing adaptation in certain priority sectors or that tackle sustainable development objectives (e.g. gender equality, ecosystem conservation, mitigation co-benefits)?

What will reporting on certain actions (or types of action) achieve?

- How does reporting on certain actions contribute to the key messages of the overall report?

How much information (and what information) do we need to provide to achieve our objectives?

- Do we just need to highlight that we are planning (or have implemented) a specific project?
- Or, do we need to describe in detail how a project was designed and implemented to share our experiences?

Some thoughts on reporting on adaptation actions

Countries can approach reporting on adaptation actions in a wide variety of ways.

Under the guidelines provided for the BTR (or any other reporting instrument), **there are no wrong approaches to tackling this issue** for adaptation.

To visualise different ways countries can report on adaptation, over the next slides I will present two *general* approaches taken by countries in their national communication.

These approaches are:

- A **broad approach** – where countries reporting a wide range of on actions across a sectors, priority areas, regions and jurisdictions
- A **dynamic approach** – where countries focussing reporting efforts on specific areas

Some thoughts on reporting on adaptation actions

• Example – Australia Nat. Com. (2018)

Australia's 7th Nat. Com. represents **a good example of the "broad approach" to reporting on adaptation** done well.

The report provides clear information on a wide range of adaptation policies and actions across key sectors at both the national level, and state-levels.

This approach gives the audience a real flavour of what Australia is doing to facilitate adaptation across regions and sectors... making it clear that adaptation is being integrated into policies and decision-making processes (at least at the national and state level).

Further, **the report makes good use of hyperlinks** to link readers to the external webpages of the initiatives allowing interested parties (e.g. domestic stakeholders) to find out more if they so wish.

6.4.2 Australian Capital Territory Government

6.4.2.1 Adaptation policy

The [Climate Change and Greenhouse Gas Reduction Act 2010](#) provides the legislative foundation for climate change action in the Australian Capital Territory (ACT), including adapting to climate change. The ACT's second [climate change action plan](#) (2012) provides the strategy and actions for achieving mitigation and adaptation targets and outcomes under the Act.

The [ACT Climate Change Adaptation Strategy – Living with a Warming Climate](#) (2016-2020) aims to help the ACT adapt to climate change and become more resilient to the project impacts by:

- communicating the risks and impacts of climate change to the ACT and region
- incorporating climate change risk considerations and adaptation actions in ACT Government policies, programs and practices
- encouraging the community to understand the shared responsibility to reduce vulnerability and increase resilience, while fostering emerging opportunities.

The ACT Government has recognised the need to increase existing adaptation work and are undertaking high priority short-term (2017-2020) actions. A number of additional actions, to ensure cross-agency coordination, are underway.

6.4.2.2 Climate risk assessment

In 2014, as a precursor to developing the adaptation policy, the ACT undertook a risk assessment, [Enabling Adaptation in the ACT](#), using a sector based method. The sectors assessed were: disaster and emergency management; community health and wellbeing; settlements and infrastructure; water and natural resources and ecosystems; and agriculture.

More specific climate risk assessments of ACT Government assets, operations and services are being undertaken as part of the Adaptation Strategy.

6.4.2.3 Progress of adaptation action

Innovation and integration

The ACT Government is investing in more effective sharing of adaptation information through sustained promotion and engagement including updates on regional climate impacts.

Cities and the built environment

Some Canberra households and commercial developers are building to higher sustainability standards than the mandatory minimum. To encourage this the ACT Government has introduced a 25 per cent remission on Lease Variation Charges for commercial buildings built to the Green Building Council of Australia's 'Greenstar' standards and for residential buildings constructed at higher environmental performance standards.

Water resources

ACT's water policies and action plans take climate impacts into consideration. Flood risk management planning is underway (including stormwater capacity and infrastructure vulnerability) for public and private land.

Natural ecosystems

The [ACT Nature Conservation Strategy 2013–23](#) sets priorities for conservation action, and the [ACT Biosecurity Strategy 2015–25](#) prioritises threats to both biodiversity and productive landscapes. Both of these strategies have actions to address the risks posed by the changing climate.

Health and wellbeing

Actions in the Adaptation Strategy build on existing government policies and programs to foster healthy living and safety.

Some thoughts on reporting on adaptation actions

- **Example – Australia Nat. Com. (2018)**

Another nice feature of this Nat. Com. is that it **uses case studies as a means of sharing more detailed information about specific adaptation actions** that Australia want to showcase.

Something which can be used to good effect when countries want to use these reports for sharing good practices, experiences and lessons learned.

Case study: Torres Strait region

The Torres Strait region is made up of more than 300 islands, located between North Queensland in mainland Australia and Papua New Guinea. The region's environmental and cultural values are of national and international significance. Climate change brings risks to the Torres Strait region's environment, community health and wellbeing, and local economies, infrastructure and services. Some communities in the Torres Strait are already being impacted by rising sea levels and many of the region's coral reefs have been severely impacted by increased sea surface temperatures.

The Torres Strait Regional Authority, in collaboration with partner organisations, developed the [Torres Strait Climate Change Strategy 2014-2018](#) which considers local climate change projections, likely impacts and actions aimed at addressing knowledge gaps and risks. In December 2016, the [Torres Strait Regional Adaptation and Resilience Plan 2016-2021](#) was released. It assesses climate change risks in greater detail for a number of areas. The Plan identifies actions to reduce climate risks and build regional and community resilience.



Poruma Island local, Olandi Pearson, shows Mary Bani (TSRA) severe coastal erosion, a source of great concern to the inhabitants of this remote coral cay. Photo: John Rainbird

Some thoughts on reporting on adaptation actions

- **Example – Republic of Korea's 4th Nat. Com. (2018)**

South Korea's 4th Nat. Com. **limits its action reporting to key national policy and planning instruments** that it has established to lay the foundation for further adaptation action.

In practice, this means it has reported on:

- The legal basis that mandates national and local governments to plan and implement adaptation measures.
- Its three main adaptation strategies/plans at national level
- As well as its programme for monitoring and assessing climate risks at the national-level (not featured on the right)

3. Adaptation Measures

3.1 Institutional Foundation

To reduce the impact of climate change, the ROK should make efforts first of all for preventive management. The ROK, therefore, has made it mandatory to establish and implement measures to adapt to climate change at national and local government levels in accordance with the Framework Act on Low Carbon, Green Growth and its Enforcement Decree, which contain provisions on the establishment and implementation of adaptation measures to mitigate climate change impact or respond to health and natural disasters, etc. At present, the ROK strives to minimize the impacts of climate change and protect the safety and property of its people by establishing the National Climate Change Adaptation General Plan, National Climate Change Adaptation Measures, and Climate Change Response Master Plan. In addition, at the local government level, Metropolitan Cities/Dos/Sis/Guns are establishing their own measures to adapt to climate change and implementing detailed plans, including the Daegu International Heat Wave Response Forum and the campaign of Ten Million Trees.

3.2 Institutional Measures

– National Climate Change Adaptation General Plan

The National Climate Change Adaptation General Plan is Korea's first national climate change adaptation plan, which is the national master plan established in 2008 to present the vision and direction of national adaptation policy. The National Climate Change Adaptation General Plan established the vision of "building a safe society and supporting green growth through climate change adaptation" and divided the planning period into short-term and long-term targets so that climate change adaptation measures can be established in climate change monitoring and forecasting, impact and vulnerability assessment, and adaptation projects, during the planning period spanning 22 years from 2009 to 2030.

– National Climate Change Adaptation Measures

The National Climate Change Adaptation Measures are the first statutory plan with regard to climate change adaptation established by supplementing and improving the contents of the National Climate Change Adaptation General Plan established in 2008 under the Framework Act on Low Carbon, Green Growth. These adaptation measures are established as five-year rolling plans in consideration of the uncertainty of climate change impacts, and the 1st National Climate Change Adaptation Measures (2011–2015) were established and implemented in 2010. The 2nd National Climate Change Adaptation Measures (2016–2020) was established and is being implemented

– Climate Change Response Master Plan

The Climate Change Response Master Plan is the master plan for response to climate change, which is established and implemented every five years for a period of 20 years under Article 40 of the Framework Act on Low Carbon, Green Growth. The 1st Climate Change Response Master Plan was established in accordance with Basic Principles for Coping with Climate

Some thoughts on reporting on adaptation actions

- **Example – Republic of Korea's 4th Nat. Com. (2018)**

As part of this, the South Korea's NC4 provides its audience with:

- An overview of the approach adopted by these strategies/plans and their (high-level) objectives
- How these plans have been built upon the experiences of the previous adaptation planning cycle, and...

The descriptions of these plans however, do not really provide information about the substantive content of these plans (i.e. there is **limited information about the sector-specific targets or actions** contained within these plans).

As such, **the audience does not get a flavour of what is going on "on-the-ground" in the country.**

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Some thoughts on reporting on adaptation actions

- **Example – Rep. of the Marshall Island's Ad. Com. (2020)**

In their Adaptation Communication (2020), the Marshall Islands does not really report on any adaptation actions being implemented "on-the-ground".

Instead, it focusses *almost* entirely on reporting on the ongoing process to establish institutional/legal/policy framework suitable for coordinating adaptation action.

3.2 Adaptation Planning Processes

3.2.1 Introduction

While RMI remains committed to championing mitigation efforts on the global stage, government leaders and officials recognized it was imperative to accelerate adaptation efforts at home. Starting in 2018, RMI has prioritized the acceleration of adaptation efforts and building resilience to growing climate and disaster risks. The immediate priority being to develop the

3.2.2

Adaptation planning processes: institutional arrangements for an integrated, holistic approach

RMI recognizes and emphasizes the importance of strengthened coordination to ensure a holistic response to climate change impacts by engaging all levels of RMI society. To this end, a Cabinet decision in May 30, 2019 established the Tile Til Eo Committee (TTEC), co-chaired by the Minister of Environment and the Chief Secretary, to:

- provide oversight of the country's response to climate change and
- reduce climate and disaster risk for the well-being of the people of the RMI.

The cabinet decision also set up three Working Groups, on Adaptation (AWG), Mitigation (MWG) and the NDC Partnership (NDCPWG), which focus on cross-cutting issues under the oversight of the Tile Til Eo Committee.

The work of the AWG is closely coordinated with the work of the NDC Partnership Group, which

3.2.3 The Approach towards producing the RMI National Adaptation Plan

The overall vision for the NAP for RMI is to avert, minimize, and address loss and damage from climate change and empower the people of the RMI to plan for a sustainable future beyond 2050 through ambitious adaptation action. To this end, The NAP development process is currently underway and involves a number of tasks as follows:

1. A stocktake of existing development and sectoral plans so adaptation does not duplicate existing commitments and can be integrated with them;
2. Initial consultations with government agencies, NGO's, and mayors to;

3.3 The pathway for long term adaptation planning

3.3.1 Shifting mindsets – short-term to long-term planning

Beyond the 2050s, for all but the very lowest emission scenarios, communities in the RMI will need to adapt to coastal hazard events well beyond the current planning time ranges, particularly in terms of being able to adapt to the increased frequency predictions for nuisance climate hazard events (see Section 2.3). Should current projections be correct, then coastal hazard impacts, particularly for urban atolls, are likely to result in increased flood inundations, rapidly becoming intolerable for a substantial amount of society. Shifting from a focus on short-term protection actions to longer-term anticipatory strategies is therefore needed.

Some thoughts on reporting on adaptation actions

In doing this, the Ad. Com. describes/presents:

- The approach it has taken/is taking to establish adequate institutional arrangements for coordinating adaptation.
- The step-by-step approach it is taking to prepare a NAP, incl.:
 - (a) Information about stakeholder participation and consultation
 - (b) Integration of gender perspectives and human rights principles, and...
 - (c) How the NAP will be aligned with existing development policies and their priorities/objectives.
- The limitations/failings of (and learnings from) previous attempts to coordinate climate action.
- How the country intends to shift from their present focus on short-medium term adaptation planning to more strategic and long-term adaptation planning.

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Some thoughts on reporting on adaptation actions

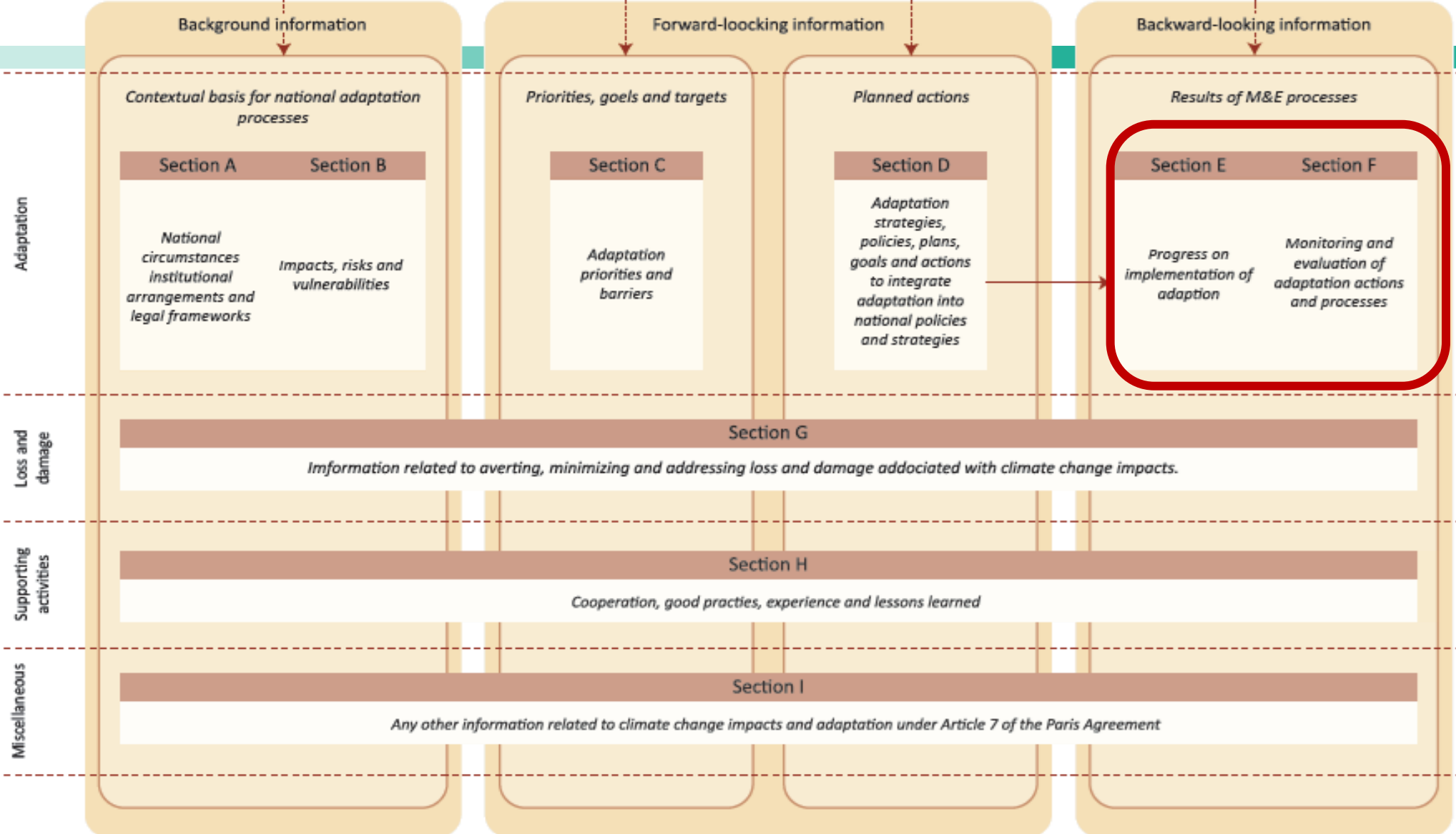
In taking the broad approach (similar to that of Australia), countries are able to:

- **Demonstrate that (and get recognition for) they are making progress in priority areas**, including in planning/implementing adaptation "on-the-ground"
- Highlight sectoral actions the country has planned that **require international support to implement**
- Share **success stories, achievements, good practices, experiences, and lessons learned** about adaptation

In taking a more dynamic approach however (as South Korea and the Marshall Islands have), **countries are less able to provide this "flavour" of what adaptation is being implemented on the ground** (e.g. across sectors or geographic regions).

The benefits of their more dynamic approach however, is **that readers can get a very clear idea of what the country is doing to facilitate adaptation on a strategic level** in the medium to long term... as well as a good idea of where in this process the country is presently at.

Different stages of the national adaptation process (also known as the iterative adaptation process)





Section E:
Progress on implementation of adaptation

Progress on implementation of adaptation

110. Each Party should provide the following information, as appropriate, on progress on:

- (a) Implementation of the actions identified in chapter IV.D above;
- (b) Steps taken to formulate, implement, publish and update national and regional programmes, strategies and measures, policy frameworks (e.g. national adaptation plans) and other relevant information;
- (c) Implementation of adaptation actions identified in current and past adaptation communications, including efforts towards meeting adaptation needs, as appropriate;
- (d) Implementation of adaptation actions identified in the adaptation section of NDCs, as applicable;
- (e) Coordination activities and changes in regulations, policies and planning.

111. Developing country Parties may also include information on, as appropriate, implementation of supported adaptation actions, and the effectiveness of already implemented adaptation measures.



Implementation status of adaptation actions

Effectiveness of international support

Implementation status of adaptation actions

The request for information on progress on implementation is covered by the five bullet points in para. 110.

Each of these bullet points asks countries to provide information about progress made in implementing different types of adaptation actions.

110. Each Party should provide the following information, as appropriate, on progress on:

- (a) Implementation of the **actions identified in chapter IV.D [section D]** above;
- (b) Steps taken to formulate, implement, publish and update national and regional programmes, strategies and measures, policy frameworks (e.g. **national adaptation plans**) and other relevant information;
- (c) Implementation of adaptation **actions identified in current and past adaptation communications**, including efforts towards meeting adaptation needs, as appropriate;
- (d) Implementation of adaptation actions **identified in the adaptation section of NDCs**, as applicable;
- (e) Coordination activities and changes in regulations, policies and planning.

Implementation status of adaptation actions

Implementation status of adaptation actions

Again, like in section D discussed earlier...

The comprehensive nature of the bullet points provided by section E should be interpreted to mean that **reporting on progress on implementation is relevant to all forms of adaptation action.**

While this is relatively straightforward, countries should note that request for actions "identified in **current and past adaptation communications**" and "identified in the **adaptation section of NDCs**" insinuates that **countries should be following up on progress made (or not made) towards implementing actions that have been planned in previous communications to the UNFCCC.**

Implementation status of adaptation actions

In addition to the general request for information on progress made in implementing actions...

For adaptation programmes, strategies, policy frameworks, or similar (i.e. any other actions that are long-term processes, designed to periodically updated), bullet point (b) asks authors to provide information about the "**steps taken to formulate, implement, publish and update**" them.

*"(b) **Steps taken to formulate, implement, publish and update** national and regional programmes, strategies and measures, policy frameworks (e.g. **national adaptation plans**) and other relevant information"*

The specific reference to "**national adaptation plans**" in bullet point (b) may be a hint that **NAPs (or equivalent national plans) are the primary target of this request.**

Implementation status of adaptation actions

*"(b) Steps taken to formulate, implement, publish and update national and regional programmes, strategies and measures, policy frameworks (e.g. **national adaptation plans**) and other relevant information"*

To meet this request in full, **countries could aim to provide a description of the entire process of formulating, executing, and updating the relevant action.**

For a NAP or similar adaptation programme, this would likely involve describing its preliminary phases (i.e. laying the groundwork for-, and addressing gaps towards establishing the programme)...

...all the way through
to the phases which constitute the end of its cycle (i.e. evaluating the results and updating the programme).

Implementation status of adaptation actions

To provide a clear indication of the implementation status of actions, **countries will probably provide process and output indicators.**

These indicators could either be included as standalone pieces of information, or could form part of a more rounded qualitative description of the progress that has been made.

Indicators **could** be those that are specific to the action being reported on, *e.g. 6 km of sea wall constructed, or adaptation-relevant regulation drafted*. This would be useful when countries want to provide a more visual description of the stage of implementation a project is at.

Implementation status of adaptation actions

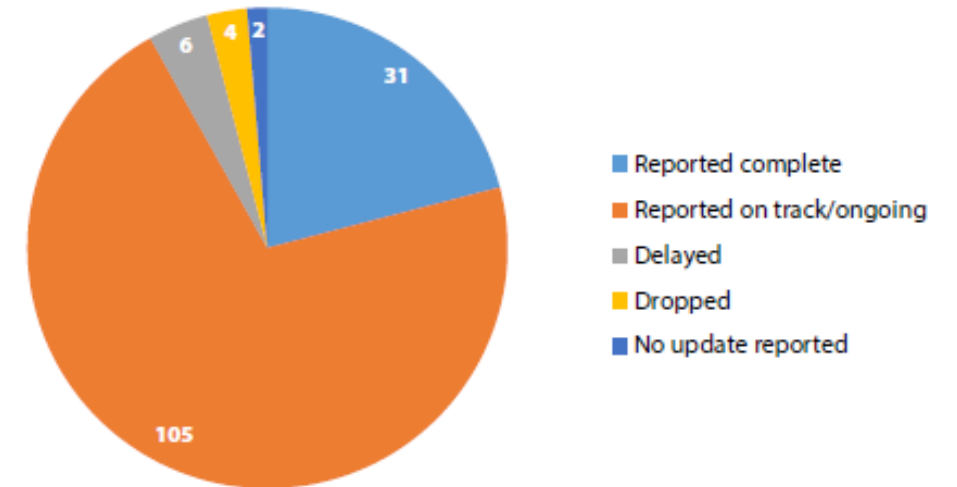
Alternatively, **countries could use more simple but descriptive categories that are comparable across actions.**

E.g. 'just begun', 'early phase of implementation', 'advanced phase', 'delayed', 'cancelled'

Using **simple comparable categories as indicators would be particularly useful for summarising progress in implementing adaptation plans and programmes** that typically contain numerous actions.

This is demonstrated in the figure on the right showing the status of policies and proposals in the Scottish Climate Change Adaptation Programme (which contains 148 separate actions).

Figure 1.2. Status of policies and proposals in the Scottish Climate Change Adaptation Programme



Source: The Scottish Government (2018) *Climate Ready Scotland: Scottish Climate Change Adaptation Programme, Fourth Annual Progress Report*.

Notes: Figure shows the number of policies and proposals in each category. The status of each policy or proposal is based on self-reporting by those responsible for their delivery.

Figure taken from the final assessment of the Scottish Climate Change Adaptation Programme, and summarises the status of policies and proposals in the Scottish Climate Change Adaptation Programme

Effectiveness of international support

Effectiveness of international support

Paragraph 111 provides guidelines for **developing countries only** to provide information about adaptation actions that are supported by international support.

*"111. **Developing country Parties may** also include information on, as appropriate, **implementation of supported adaptation actions**, and the **effectiveness of already implemented adaptation measures**"*

Specifically, the paragraph itself asks developing countries:

- To **report on the implementation of adaptation actions which are being** (or have been) **implemented using international support**, and...
- To **provide information about how effective these actions have been** in addressing the country's climate challenges.

Effectiveness of international support

And in addition to providing information about the effectiveness of the requested in paragraph 111...

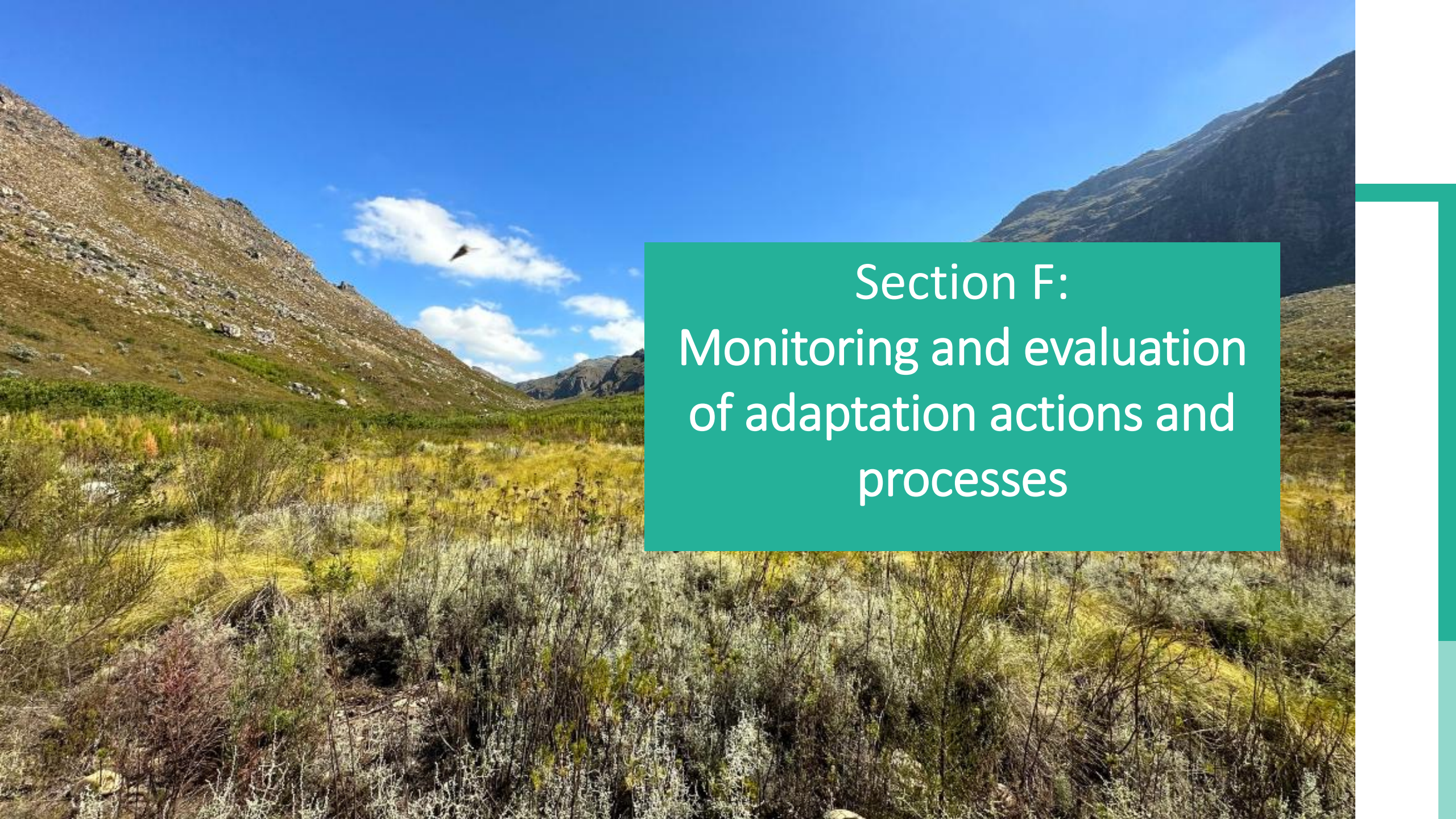
Developing countries *could* (if they so wish) use any information they provide about internationally supported adaptation and its results and effectiveness as the basis for additional commentary concerning the **adequacy of the international support** they have received for adaptation in relation to their specific vulnerabilities and adaptation needs ...

...i.e. you could report on **whether you consider the support being provided to be enough given the size of the climate challenges you are facing?**

In fact, this is (*sort of*) included in Section F, paragraph 113 (d.ii) which states Parties should provide information about how:

*"How support programmes meet **specific vulnerabilities and adaptation needs**;"*

In this case, the term "**vulnerabilities and adaptation needs**" would refer to specific challenges and needs identified by developing countries within their adaptation communications and NDCs.

A landscape photograph of a mountain valley. The foreground is filled with dense, dry, yellowish-brown brush and grasses. In the middle ground, a valley opens up, showing a mix of green and yellow vegetation. The background features steep, rocky mountainsides under a clear blue sky with a few scattered white clouds. A small bird is visible in flight in the upper left portion of the sky. A teal rectangular box is overlaid on the right side of the image, containing white text.

Section F:
Monitoring and evaluation
of adaptation actions and
processes

Monitoring and evaluation of adaptation actions and processes

112. In order to enhance their adaptation actions and to facilitate reporting, as appropriate, each Party should report on the establishment or use of domestic systems to monitor and evaluate the implementation of adaptation actions. Parties should report on approaches and systems for monitoring and evaluation, including those in place or under development.

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

- (a) Achievements, impacts, resilience, review, effectiveness and results;
- (b) Approaches and systems used, and their outputs;
- (c) Assessment of and indicators for:
 - (i) How adaptation increased resilience and reduced impacts;
 - (ii) When adaptation is not sufficient to avert impacts;
 - (iii) How effective implemented adaptation measures are;
- (d) Implementation, in particular on:
 - (i) Transparency of planning and implementation;
 - (ii) How support programmes meet specific vulnerabilities and adaptation needs;
 - (iii) How adaptation actions influence other development goals;
 - (iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

- (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;
- (b) The results of adaptation actions and the sustainability of those results.



What are the results of adaptation being implemented?

How were these results determined?

Adaptation results

Adaptation results

Guidelines relating to the results of adaptation are found dispersed across the paragraphs 113 and 114 of this section.

As can be seen on the right, the guidelines make a number of requests for information that range from quite broad and generic, to requests that are quite specific...

Monitoring and evaluation of adaptation actions and processes

112. [...]

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

→ (a) Achievements, impacts, resilience, review, effectiveness and results;

(b) [...]

(c) [...]

→ (d) Implementation, in particular on:

(i) Transparency of planning and implementation;

(ii) How support programmes meet specific vulnerabilities and adaptation needs;

(iii) How adaptation actions influence other development goals;

(iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

→ 114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

(a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;

(b) The results of adaptation actions and the sustainability of those results.

Adaptation results

Monitoring and evaluation of adaptation actions and processes

For the purposes of getting a quick overview of these requests, one can divide them into four broad groups...

Those that request information about:

- The **results** of adaptation actions

112. [...]

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

(a) Achievements, impacts, resilience, review, effectiveness and results;

(b) [...]

(c) [...]

(d) Implementation, in particular on:

(i) Transparency of planning and implementation;

(ii) How support programmes meet specific vulnerabilities and adaptation needs;

(iii) How adaptation actions influence other development goals;

(iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

(a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;

(b) The results of adaptation actions and the sustainability of those results.

Adaptation results

Monitoring and evaluation of adaptation actions and processes

For the purposes of getting a quick overview of these requests, one can divide them into four broad groups...

Those that request information about:

- The **results** of adaptation actions
- **Evaluations of adaptation success**

112. [...]

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

- (a) Achievements, impacts, resilience, review, effectiveness and results;
- (b) [...]
- (c) [...]
- (d) Implementation, in particular on:
 - (i) Transparency of planning and implementation;
 - (ii) How support programmes meet specific vulnerabilities and adaptation needs;
 - (iii) How adaptation actions influence other development goals;
 - (iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

- (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;
- (b) The results of adaptation actions and the sustainability of those results.

Adaptation results

For the purposes of getting a quick overview of these requests, one can divide them into four broad groups...

Those that request information about:

- The **results** of adaptation actions
- **Evaluations of adaptation success**
- More specific **issues that are important in the context of COP**

Monitoring and evaluation of adaptation actions and processes

112. [...]

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

- (a) Achievements, impacts, resilience, review, effectiveness and results;
- (b) [...]
- (c) [...]
- (d) Implementation, in particular on:
 - (i) Transparency of planning and implementation;
 - (ii) How support programmes meet specific vulnerabilities and adaptation needs;
 - (iii) How adaptation actions influence other development goals;
 - (iv) Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

- (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;
- (b) The results of adaptation actions and the sustainability of those results.

What are the results of adaptation being implemented?

Monitoring and evaluation of adaptation actions and processes

For the purposes of getting a quick overview of these requests, one can divide them into four broad groups...

Those that request information about:

- The **results** of adaptation actions
- **Evaluations of adaptation success**
- More specific **issues that are important in the context of COP**
- **Good practices and lessons learned**

112. [...]

113. Each Party should provide the following information, as appropriate, related to monitoring and evaluation:

- (a) Achievements, impacts, resilience, review, effectiveness and results;
- (b) [...]
- (c) [...]
- (d) Implementation, in particular on:
 - (i) Transparency of planning and implementation;
 - (ii) How support programmes meet specific vulnerabilities and adaptation needs;
 - (iii) How adaptation actions influence other development goals;
 - (iv) **Good practices, experience and lessons learned from policy and regulatory changes, actions and coordination mechanisms.**

114. Each Party should provide information related to the effectiveness and sustainability of adaptation actions, as appropriate, including on:

- (a) Ownership, stakeholder engagement, alignment of adaptation actions with national and subnational policies, and replicability;
- (b) The results of adaptation actions and the sustainability of those results.

Adaptation results

Starting with the request for information about adaptation results...

"(a) Achievements, impacts, resilience, review, effectiveness and results"

Bullet point (a) can be viewed as a general request for information about **the results of adaptation actions** being reported on... (i.e. the **observed and attributable outcomes and impacts**).

Any information about the results of adaptation presented in the A-BTR in response to this request **should be determined by some form of structured monitoring and evaluation (M&E) process**.

Adaptation results

Ideally, information reported on in the BTR would include **quantitative indicators** to complement qualitative data and descriptions.

However, in many cases, the metrics through which such quantifications can be conducted will be unclear, will be context specific, or will only provide a proxy measure for the ultimate intended impact (i.e. increased resilience, reduced vulnerability and enhanced adaptive capacity).

Where this is the case, purely qualitative descriptions of outcomes and impacts may, therefore, suffice whenever appropriate quantitative data is not available.

Regardless of the approach taken to presenting results, countries should make concerted efforts to ensure that any results presented are accompanied with **baseline data** (qualitative or quantitative) in order to ensure that the audience is able to gauge the significance of the results being presented.

Adaptation results

Building on this, **the guidelines also ask countries to provide further evaluations of adaptation results to determine how successful adaptation actions have been** (or in the case of information coming from ex-ante assessments, are likely to be)...

In particular, the guidelines explicitly ask for assessments of effectiveness, sufficiency (i.e. adequacy), and sustainability. While **there is no agreed definition for these terms**, they can be generally understood as:

Effectiveness – *"the extent to which an adaptation action or process has achieved its pre-defined objectives or targets"*

Adequacy – *"the extent to which adaptation is sufficient to meet specific vulnerabilities and adaptation needs"*

Sustainability – *"the ability of an action or intervention to continue to achieve its desired outcomes and impacts over medium- to long-time horizons"*

Adaptation results

The concepts of **adequacy and effectiveness are key to understanding if progress in adaptation is being made.**

These concepts can be **assessed during or after the implementation period** using a mixture of (a) the indicators being monitored, and (b) additional evaluation processes (e.g. stakeholder consultations or expert reviews) as an indirect means of assessing whether these actions are likely to be successful in the longer-term.

As these assessments require both significant time and resources to implement, for most countries it seems likely that **the majority information** about the effectiveness, adequacy, and/or sustainability of adaptation **will be limited to flagship adaptation actions** (e.g. NAPs), for which M&E systems are increasingly being developed.

Where this information is available, **it will likely be generated through mid-implementation and post-implementation reviews**, designed to inform changes to the adaptation policy, strategy and plan, in question.

Adaptation results

Finally, in addition to these more broadly applicable dimensions of monitoring and evaluation adaptation, section F also asks countries to provide information relating to specific questions that correspond to decisions.

The first request:

"113 (d.ii) How support programmes meet specific vulnerabilities and adaptation needs"

This relates to the adequacy of support provided....covered in relation to similar guidelines in section E.

Adaptation results

The second meanwhile:

"113 (d.iii) How adaptation actions influence other development goals"

... relates to the fact that **adaptation needs to be addressed in the broader context of sustainable development planning.**

This request is clearly asking for information about if adaptation is contributing to the realisation of development goals.

Evaluating this would likely **involve the using development indicators and (possibly) further evaluations** to evaluate what effect adaptation is having on your country's key development goals (e.g. economic growth, gender empowerment, conservation of nature and biodiversity).

How these results were determined

How these results were determined

In addition to requesting the results of M&E processes, the guidelines in section F also ask countries to:

- provide information about how the results being reported in the BTR are being determined... which it does by asking countries to provide information about:

"(b) Approaches and systems used, and their outputs"

and

"(c) assessment of and indicators for:

- (i) how adaptation increased resilience and reduced impacts;*
- (ii) when adaptation is not sufficient to reduce impacts, [and]*
- (iii) how effective implemented adaptation measures are"*

- Report on any domestic M&E systems they are using, have developed, or are developing, to monitor and/or evaluate adaptation action.

How these results were determined

In general, countries should see this as a request to include comprehensive information about their domestic M&E systems (again operational or under development) and to **be transparent about where information came from** (i.e. which M&E system) and **how indicators for abstract concepts such as vulnerability and effectiveness were measured or evaluated**.

An informative description of an M&E system for example, could summarise:

- The **aims** of the M&E system (i.e. objectives and policy context)
- Its **approach** and its **legal basis** (i.e. how it works)
- Its **outputs** (incl. frequency of outputs) and any **limitations** associated with its outputs

Further, countries that are still in the process of establishing a domestic M&E system might consider also describing **what has been done so far to develop this system**, and **what is still to be done**.

How these results were determined

Meanwhile, for specific indicators and assessment methodologies, countries could provide descriptions of:

- The **indicators used** to monitor the results of adaptation, and **assessment methodologies used** to determine what these mean for effectiveness, adequacy, resilience, vulnerability, sustainability etc...
- **How indicators and assessment methodologies were designed** – i.e. how, why, when, and by whom, were indicators and assessment processes designed, and...
- Any **assumptions** upon which the indicators and assessment methodologies are based, and the limitations associated with these assumptions.

In both of these cases, providing this information in the BTR could end up becoming long and cumbersome.

As such, countries should perhaps consider utilizing cross-referencing (ideally through [hyperlinks](#)) in order to provide the report's audience with access to this information without needing to include it in the A-BTR proper...

Concluding remarks

Concluding remarks

The **extent to which countries can periodically include information about progress being made on implementation and adaptation results** in one's BTRs **will ultimately depend on the presence and capacities of M&E systems** to track action implementation and generate information about results.

What this will likely mean in reality is:

- In the short-term, **periodic reporting on results via BTRs is likely to be light on the ground** as many countries are yet to fully operationalise, or even start developing, systems for monitoring and evaluating adaptation plans at the national-level.
- Periodic reporting on the more methodologically complex aspects of the guidelines (i.e. effectiveness and adequacy) might be even further away than, for example simply reporting on changes in outcome and impact indicators observed.

However, in the medium-term, it is hoped that this will improve as countries get better at monitoring and evaluating adaptation

A close-up photograph of a person watering plants in a garden. The person is wearing a bright pink shirt and is holding a silver watering can. Water is being poured from the spout of the can onto a variety of green plants, including lavender and basil. The background is filled with lush green foliage. A teal-colored rectangular box is overlaid on the right side of the image, containing the text "Any Questions?".

Any Questions?