

# Visión 2030

# 3



## LEYENDA

- Bosque
- Café
- Granos básicos
- Banano sombra de café
- Frutales
- Fuentes de agua
- Aves de corral
- Escuela Primaria
- Oratorio
- Salón Comunal
- Vivienda
- Letrina
- Carretera de terracería

CARRETERA

Grupo de  
Mapa de uso  
del suelo y recursos







# Chapter 3

## Global progress on adaptation planning

**Lead authors:** Annett Moehner (Secretariat of the United Nations Framework Convention on Climate Change), Maryam Navi (Secretariat of the United Nations Framework Convention on Climate Change), Fatin Tawfig (Secretariat of the United Nations Framework Convention on Climate Change), Motsomi Maletjane (Secretariat of the United Nations Framework Convention on Climate Change), Michal Nachmany (Climate Policy Radar).

**Photo:** © CCAFS/J.L.Urrea

## Key messages

- ▶ Countries have made consistent progress in developing adaptation planning instruments and across almost all indicators of adequate and effective adaptation planning. This progress is mostly incremental (within 10 per cent of scores from the 2020 analysis), with the exception of stakeholder engagement, gender and the use of policy instruments, which saw greater improvements.
- ▶ At present, 79 per cent of countries have at least one national-level adaptation planning instrument in place, up from 72 per cent in 2020.
- ▶ In terms of the adequacy and effectiveness of those plans, there has been a significant increase in inclusive adaptation planning and the application of policy instruments deemed to enhance the implementability of adaptation plans, including regulations and provisions for investment and incentives. Countries also progressed in terms of the comprehensiveness of their adaptation planning.
- ▶ There is evidence of steady progress on the integration of adaptation across sectors and levels, although results remain mixed, with three-quarters having horizontal coordination mechanisms in place, compared to just around one-third with vertical coordination mechanisms. Furthermore, at least 65 per cent of countries have at least one sectoral plan in place and at least 26 per cent have at least one subnational planning instrument.
- ▶ Only around a quarter of countries have a monitoring and evaluation framework in place, reflecting the difficulty of designing and implementing such frameworks.

## 3.1 Introduction

In 2021, the Intergovernmental Panel on Climate Change (IPCC) concluded that anthropogenic climate change is already affecting weather and climate extremes across the world and that the scale of recent changes across the climate system, as well as the current state of many of its aspects, are unprecedented (IPCC 2021). At the same time, in 2021 the United Nations Framework Convention on Climate Change (UNFCCC) found that emissions reductions that were estimated based on targets communicated through countries' new or updated nationally determined contributions (NDCs) "fall far short of what is required" to limit global warming to 1.5°C or even 2.0°C above pre-industrial levels (UNFCCC 2021a). These findings underscore the urgency of developing – and subsequently implementing – adequate and effective adaptation plans to reduce vulnerability and build resilience to withstand the current and future impacts of climate change.

All Parties to the Paris Agreement (UNFCCC 2016) commit to engage in adaptation planning processes and the implementation of actions, including the development or enhancement of relevant plans (article 7.9), with a view to contributing to the global goal on adaptation of enhancing adaptive capacity, strengthening resilience

and reducing vulnerability (article 7.1). The Agreement also stresses that adaptation should follow a gender-responsive and participatory approach, with a view to integrating adaptation into relevant socioeconomic and environmental policies and actions (article 7.5). As part of the Global Stocktake under the UNFCCC process, Parties will review the adequacy and effectiveness of adaptation and progress towards the global goal on adaptation (articles 7.14 and 14).

The Adaptation Gap Report 2020 (AGR2020) assessed the global status of adaptation planning by examining the number of adaptation plans and strategies produced by 196 Parties to the UNFCCC and the extent to which these plans and strategies are effective and adequate (UNEP 2021).<sup>1</sup> This chapter provides an update on the previous analysis, providing both a more advanced snapshot of adaptation planning worldwide and a sense of how this compares to the 2020 assessment.

## 3.2 Methodology

Applying the same methodology as the AGR2020, this chapter looks at the overall number of national, subnational and sectoral adaptation strategies, plans and laws. Five

<sup>1</sup> As at 5 August 2021, 191 of the Parties were also Parties to the Paris Agreement. Given the focus on analysis at the national level, the European Union, which is also a Party to the UNFCCC and the Paris Agreement, is excluded from the analysis.

**Table 3.1** Overview of criteria used to assess adaptation planning (including their underlying rationale) and associated indicators

Rationale	Indicators
<b>1. Comprehensiveness</b>	
Identifying climate risks and hazards and assessing vulnerability to existing and future climate hazards and impacts constitute foundational steps of the adaptation planning process. Countries can then use this information to prioritize sectors for adaptation measures and develop a comprehensive adaptation plan by identifying adaptation options that align with these priorities and respond to the risks, hazards and vulnerabilities they face.	<ul style="list-style-type: none"> <li>Adaptation options comprehensively address assessed risks, impacts, hazards or vulnerabilities</li> </ul>
<b>2. Inclusiveness</b>	
For adaptation planning to adequately reflect existing and forthcoming risks and vulnerabilities and to effectively enhance the ownership of any implementation, emphasizing the engagement of all relevant stakeholders and gender considerations.	<ul style="list-style-type: none"> <li>Dedicated stakeholder engagement process in place</li> <li>Consideration of gender</li> </ul>
<b>3. Implementability</b>	
Planning can be assumed to be effective if it leads to real implementation by public and private actors. As such, planning can benefit from a central administrative body that is officially in charge of adaptation policymaking and a variety of policy instruments, including investment, incentives and regulations that lead to the desired outcomes.	Presence of: <ul style="list-style-type: none"> <li>a central administrative body</li> <li>regulations</li> <li>investments</li> <li>incentives</li> </ul>
<b>4. Integration</b>	
Integrating or mainstreaming adaptation planning and action horizontally (across sectors) and vertically (across levels of administration) is increasingly recognized as an important component of effective adaptation planning. This helps ensure that adaptation planning is comprehensive, avoids the duplication of effort or maladaptation, and enhances synergies.	Presence of: <ul style="list-style-type: none"> <li>sectoral adaptation plans and coordination mechanisms</li> <li>subnational adaptation plans and coordination mechanisms</li> </ul>
<b>5. Monitoring and evaluation (M&amp;E)<sup>a</sup></b>	
For planning to remain adequate and effective, it must be periodically monitored and evaluated.	<ul style="list-style-type: none"> <li>M&amp;E system in place</li> <li>Monitoring/Progress report published</li> <li>Evaluation undertaken and report published</li> </ul>

<sup>a</sup> Taking into account Leiter (2021), the 2020 indicators were slightly revised to focus more on what has been achieved to date rather than what has been planned.

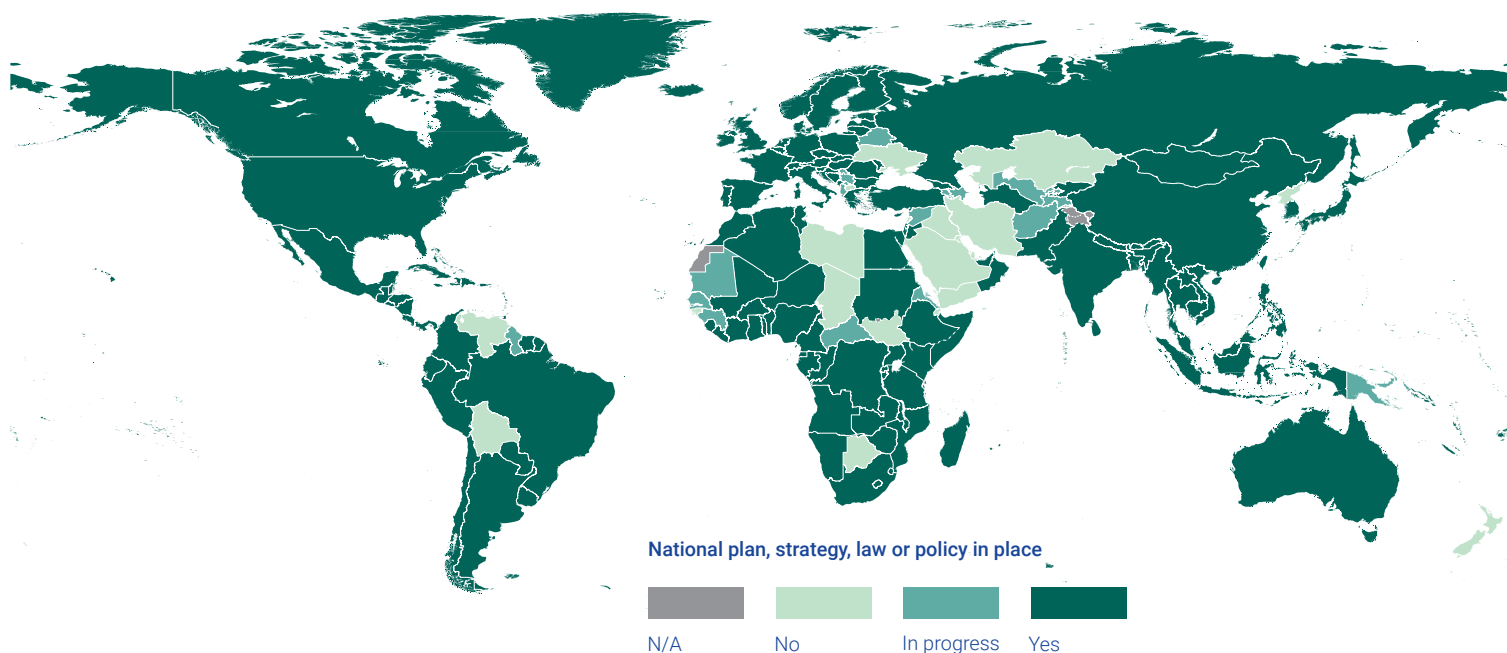
criteria are used to shed light on the extent to which the outputs of national adaptation planning can reasonably be assumed to be adequate (sufficient) and effective (successful) in achieving the stated adaptation targets and objectives (reducing climate risks and enhancing resilience). The five criteria are detailed in [table 3.1](#).

These criteria and associated indicators were chosen as they respond to the provisions of the Paris Agreement setting out the commitments of the Parties (articles 7.5 and 7.9). They have also been included in relevant global guidance documents on adaptation planning<sup>2</sup> or in previous global or regional assessments of adaptation planning.<sup>3</sup>

<sup>2</sup> For example, the 2012 UNFCCC Least Developed Countries Expert Group (LEG) technical guidelines for the NAP process (UNFCCC LEG 2012), the 2015 PEG M&E tool for the LEG (UNFCCC LEG 2015) and the 2016 Guidance on vertical integration (Dazé *et al.* 2016).

<sup>3</sup> For example, the 2018 Evaluation of the European Union Strategy on adaptation to climate change (European Commission 2018) and the 2019 global review of national laws and policies on climate change adaptation (Nachmany *et al.* 2019).

Figure 3.1 Status of adaptation planning worldwide, as at 5 August 2021



**Note:** Territories marked as N/A are those which are recognized as disputed by the United Nations or whose status has not yet been agreed upon.

As part of a desk review by the authors,<sup>4</sup> 24 National Adaptation Plans (NAPs),<sup>5</sup> 18 Adaptation Communications<sup>6</sup> and 151 Nationally Determined Contributions (NDCs) with adaptation components<sup>7</sup> were analysed for evidence of the chosen indicators. Where none of these documents was available for a country, National Communications were consulted.<sup>8</sup> Data on national laws and policy instruments was also drawn from, cross checked with and complemented by Grantham Research Institute Climate Change Laws of the World Database.<sup>9</sup>

Data limitations include the lack of rigorous standards regarding the accuracy and completeness of reporting by countries. As with the initial analysis, the aim is to assess as many countries as possible, with all indicators are scored as present, absent or in progress/partial. While this allows for the construction of a broad global picture of adaptation planning, it hides important nuances and significant differences between countries.

It is also critical to acknowledge that planning (even good planning) is only a precursor to the implementation of adaptation measures. This chapter stops short of assessing whether plans have actually had an impact and have been followed through at the national, subnational and sectoral levels.

### 3.3 Progress in adaptation planning

#### 3.3.1 Status of adaptation planning

Globally, 79 per cent of countries have addressed adaptation at the national level through a plan, strategy, policy or law. This is an increase over the analysis from 2020, when 72 per cent of countries had a national adaptation instrument in place. A further 9 per cent of countries are in the process of developing their first national instrument (figure 3.1).<sup>10</sup>

<sup>4</sup> The cut-off for the analysis of the various documents and databases was 5 August 2021.

<sup>5</sup> NAPs here refer exclusively to the plans submitted to the UNFCCC NAP Central. More information is available at [www4.unfccc.int/sites/NAPC/News/Pages/national\\_adaptation\\_plans.aspx](http://www4.unfccc.int/sites/NAPC/News/Pages/national_adaptation_plans.aspx).

<sup>6</sup> More information available at [www.unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications](http://www.unfccc.int/topics/adaptation-and-resilience/workstreams/adaptation-communications).

<sup>7</sup> More information available at [www4.unfccc.int/sites/ndcstaging/Pages/Home.aspx](http://www4.unfccc.int/sites/ndcstaging/Pages/Home.aspx).

<sup>8</sup> Annex I ([www.unfccc.int/NC7](http://www.unfccc.int/NC7)) and Non-Annex I ([www.unfccc.int/non-annex-I-NCs](http://www.unfccc.int/non-annex-I-NCs)).

<sup>9</sup> <https://climate-laws.org>.

<sup>10</sup> This includes national plans, strategies, policies or laws explicitly and primarily focused on adaptation or focused on climate change more broadly, with a significant adaptation component. National adaptation programmes of action were not included in the tally due to their unique role as a tool for LDCs to identify and act on urgent priority adaptation activities, rather than as an instrument to facilitate an overarching or holistic adaptation response.

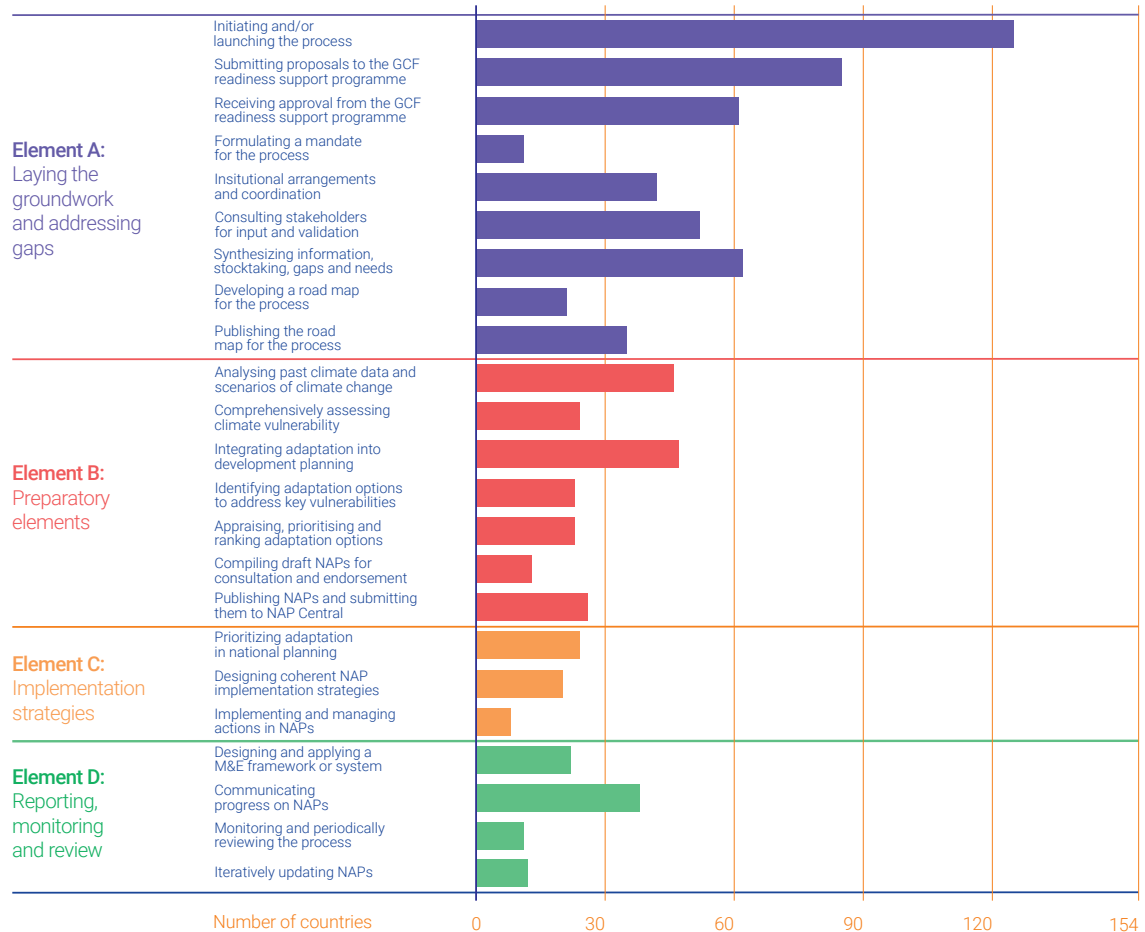


**Box 3.1 Progress by developing countries in formulating and implementing NAPs**

Developing countries have made gradual progress in formulating and implementing NAPs since the process was established in 2010. However, progress has accelerated since 2015. As at September 2021, at least 125 of the 154 developing countries had undertaken activities related to the process to formulate and implement NAPs. Some countries had developed and submitted sectoral and thematic strategies and other relevant outputs. Twenty-two countries had put in place or were working on their M&E frameworks or systems for the NAPs.

A detailed set of measures is shown in figure 3.2 below. Fourteen countries had also submitted at least one project concept note to the Green Climate Fund (GCF) for implementing priority actions associated with their NAPs. A further, eight countries had received approval for funding from the Least Developed Countries Fund for activities related to the process to formulate and implement NAPs. Technical support is provided by the Least Developed Countries Expert Group, other constituted bodies under the UNFCCC, United Nations organizations, specialized agencies and other relevant organizations, as well as by bilateral and multilateral agencies, including through support programmes.

**Figure 3.2** Aggregate progress in the process for formulating and implementing NAPs



**Source:** Information updated by the authors from UNFCCC (2020).

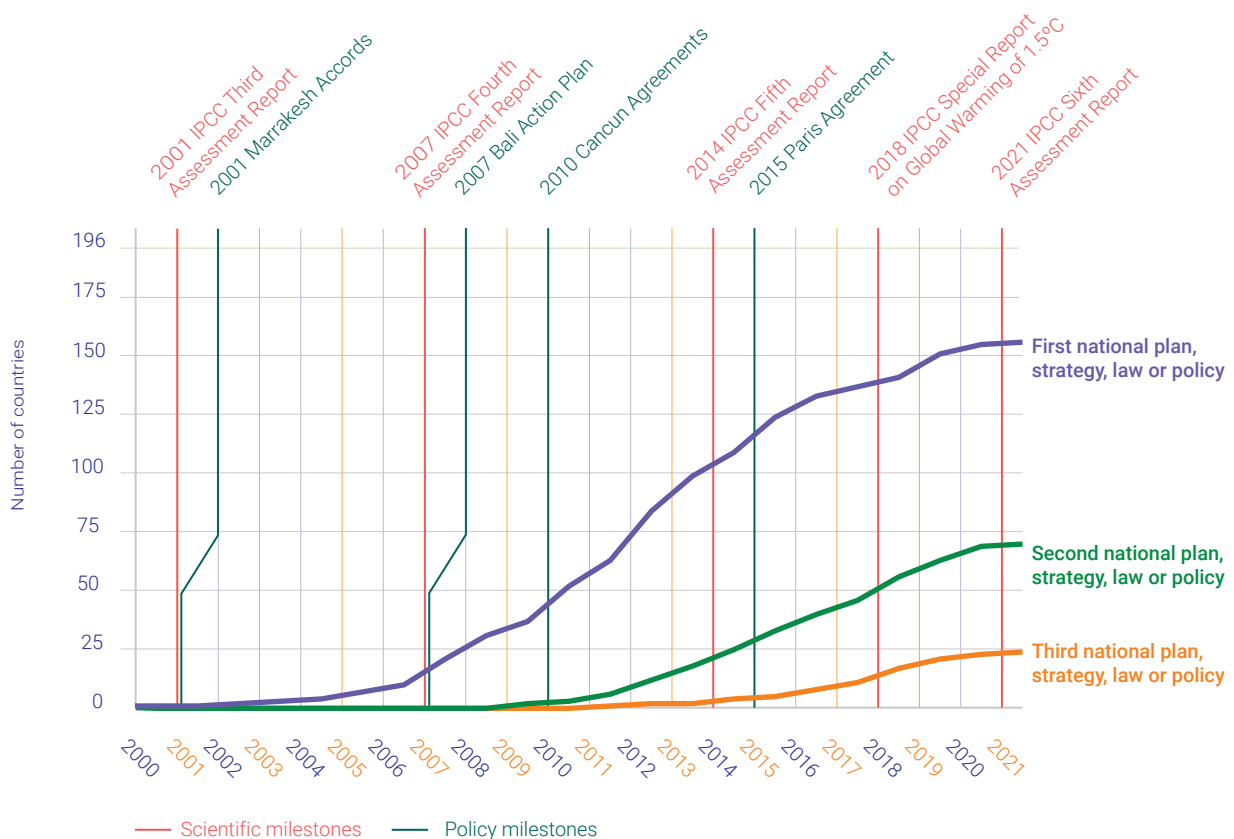
Under UNFCCC, the process of formulating and implementing NAPs remains a cornerstone of adaptation planning efforts, particularly for developing countries (UNFCCC 2020). Indeed, many of these countries already have one or more national adaptation instruments in place and are simultaneously in the process of formulating a NAP, highlighting the added value of this instrument over and above other national plans, policies, laws and frameworks for adaptation. [Box 3.1](#) provides an overview of NAP progress to date.

Since the first national-level adaptation instrument identified in this analysis was established in 2000, the pace of adaptation planning around the world has accelerated considerably. Furthermore, almost half of the countries with a national instrument in place have developed at least one further national-level instrument, which serves to replace, update or complement the initial adaptation plan, policy, strategy or law. In some cases, this may reflect progress in iterative adaptation planning (see, for example,

UNFCCC Adaptation Committee 2019b; Mimura *et al.* 2014; UNFCCC 2019), wherein countries are building and improving on their initial plans and other instruments. The growth in adaptation planning throughout the world has taken place alongside increasingly dire warnings from the scientific community – particularly the IPCC – about the need for adaptation, alongside an expansion of institutions under the UNFCCC to support the adaptation efforts of countries ([figure 3.3](#); see also UNFCCC Adaptation Committee 2019a).

Looking ahead, the presence of clearly defined national adaptation goals and quantitative and qualitative adaptation targets could be an important way of gauging where adaptation planning has now become outcome-oriented and is measurable. Indeed, new and updated NDCs suggest that countries are already moving in this direction by including more quantitative and time-bound targets as part of their adaptation contributions ([box 3.2](#) provides a snapshot of recent developments; see also UNFCCC 2021).

**Figure 3.3** Progression of global adaptation planning since 2000



**Note:** Data for the period 2000–2019 has been updated since the 2020 analysis, based on new documents submitted by Parties to the UNFCCC, which, in some cases, reported on adaptation planning instruments established from 2000 to 2019 that had not been reflected in the 2020 edition of the AGR.

### Box 3.2 National laws and policies

National legislative and executive actions (laws, policies, strategies, plans, etc.) are essential to translate adaptation planning into action. Setting clear targets, defining clear governance and accountability mechanisms, securing implementation budgets and tying policy into broader societal frameworks and processes are all critical aspects for success.

During 2020 and 2021, several national laws and policies focusing on adaptation or disaster risk management were adopted or amended significantly. For example, the Russian Federation has published its first National Adaptation Action Plan; Spain and South Africa have published new adaptation policies that significantly update older ones (from 2006 and 2011, respectively); Japan has updated its Basic Disaster Prevention Plan to include disease prevention; and South Korea has amended its National Strategic Plan for Climate Adaptation (2021–2025).

Similarly, Dominica published its Climate Resilience and Recovery Plan, which is a requirement of the Climate Resilience Act 2018 and is aligned with the country's National Resilience Development Strategy developed in 2018. The plan sets targets, defines initiatives and outlines the resources required to implement resilience measures. It also sets clear and quantifiable targets for 2030, including zero fatalities from extreme weather events, 90 per cent of housing stock built or retrofitted to meet resilient building codes and 100 per cent resettlement of individuals living in physically vulnerable locations. Lastly, it includes time-sensitive targets for access to infrastructure and resources during and after extreme weather events (including critical government and emergency services, water, local and international transport, power, schools, health services and telecommunications).

### 3.3.2 Adequacy and effectiveness of adaptation planning

The results of the assessment of the adequacy and effectiveness of adaptation planning are discussed below. Table 3.2 provides an overview of the results for all 196 Parties. Furthermore, given the acute vulnerability of Least Developed Countries (LDCs) and Small Island Developing States (SIDS) to the impacts of climate change, the table also disaggregates the results for these groups. Figure 3.4 provides a comparison with the situation in 2020.

#### COMPREHENSIVENESS

More than two-thirds of countries identified a set of adaptation options within their identified priority sectors, a 15 per cent increase on the 2020 analysis. The analysis of available reporting has shown that 23 per cent have adaptation measures that partially matched their identified priority sectors.<sup>11</sup> A total of 9 per cent of countries either did not address adaptation options that link to key priorities within their assessments or did not address any adaptation options in the documents reviewed. This is a 15 per cent reduction on the 2020 analysis.

#### INCLUSIVENESS

Compared to 2020, the number of countries addressing stakeholder engagement in their reports has increased by 22 per cent. As of 5 August 2021, about 70 per cent of countries have developed their adaptation plans through consultations with a broad range of stakeholders. The

stakeholders involved included different government levels, non-governmental and sectoral organizations, research institutes and the private sector. Out of 70 per cent of countries identified as developing adaptation plans through stakeholder consultations, 71 per cent (50 per cent of all countries) provided details on their stakeholder consultation process, which included aspects such as identifying and informing relevant stakeholders in all key sectors, organizing participatory stakeholder workshops or elaborating on the process to involve different relevant stakeholders through a coordinating body.

In terms of gender considerations in adaptation planning, the growth rate is even higher (40 per cent). This is mainly due to the considerable number of new and updated NDCs submitted to the UNFCCC Secretariat since October 2020. According to the documents reviewed, 73 per cent of countries highlighted the importance of integrating gender considerations into adaptation planning. This represents a significant increase from the previous analysis, which found that 52 per cent of countries were integrating gender considerations into their planning, suggesting that they are taking swift action on the imperative of following a gender-responsive approach. The way countries report on gender considerations continues to vary considerably, from generally emphasizing the imperative of enhancing gender equality in their adaptation planning to aligning their approaches to gender responsiveness with the relevant provisions of the enhanced gender action plan (box 3.3).

<sup>11</sup> A partial match refers to plans that identified adaptation measures for some or the majority of vulnerable/priority sectors but not for all within the document reviewed.



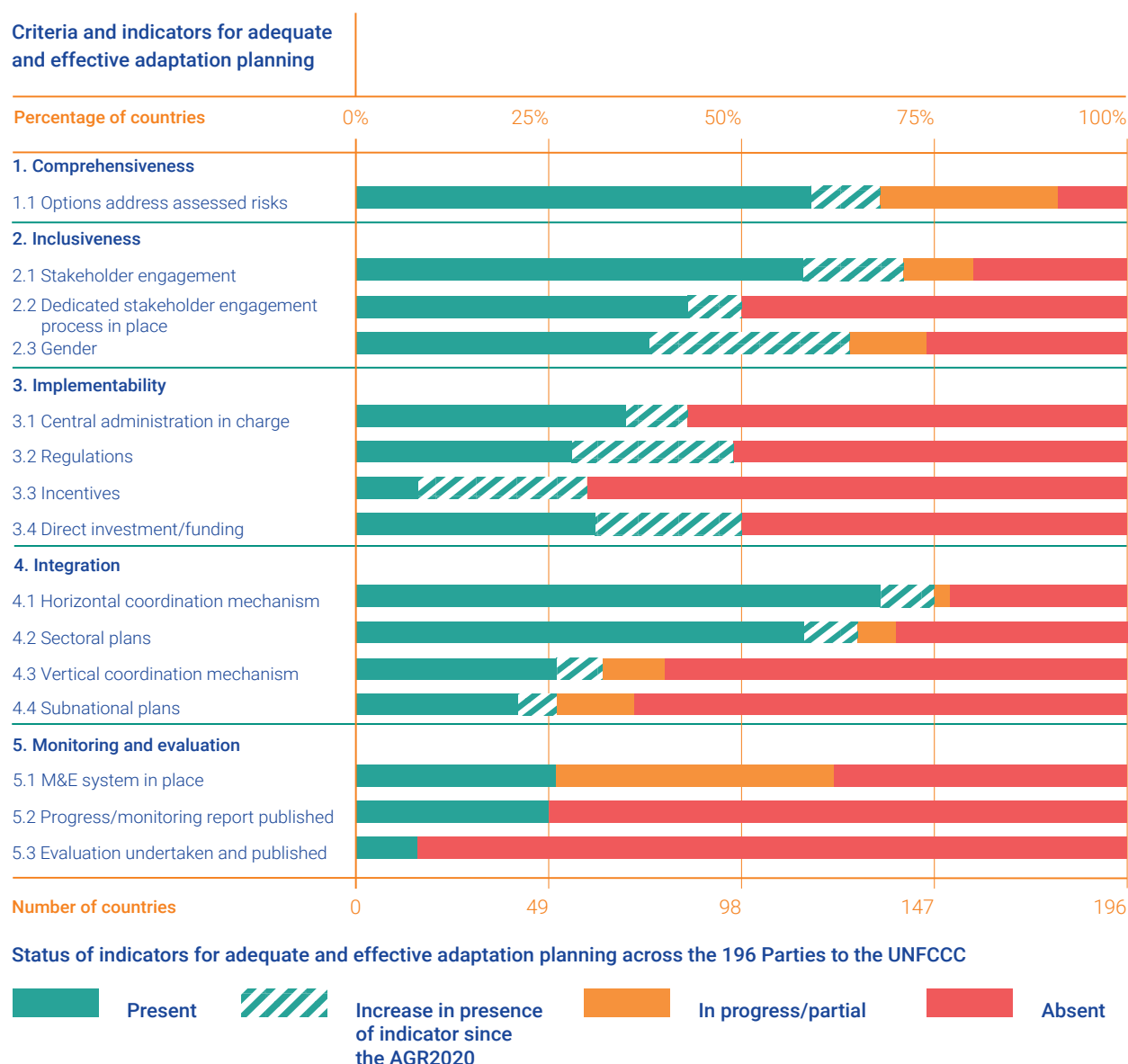
**Table 3.2** Adequacy and effectiveness of adaptation planning globally and in LDCs and SIDS<sup>a</sup>

		Percentage of all 196 Parties		Percentage of LDCs		Percentage of SIDS	
		2021	2020	2021	2020	2021	2020
National plans/strategies	In place (in progress)	79% (9%)	72% (9%)	72% (15%)	64% (11%)	82% (8%)	80% (5%)
<b>Planning is adequate due to:</b>							
Addressing climate risks	Comprehensively (partially)	68% (23%)	59% (22%)	59% (28%)	62% (21%)	74% (23%)	75% (22%)
Inclusively engaging stakeholders and incorporating gender considerations	Engaging stakeholders (in progress)	70% (9%)	43% (15%)	67% (11%)	36% (13%)	79% (10%)	40% (15%)
	Incorporating gender considerations	73%	52%	78%	74%	79%	65%
<b>Planning is effective due to:</b>							
Catalysing implementation through institutions and policy instruments	Central administrative body in place	43%	35%	41%	32%	29%	18%
	At least one policy instrument in place	71%	48%	57%	43%	61%	47%
Integrating adaptation across sectors/levels	Sectoral plans in place (in progress)	65% (5%)	58% (6%)	67% (4%)	57% (9%)	61% (5%)	55% (5%)
	Horizontal coordination in place (in progress)	75% (2%)	68% (4%)	80% (0%)	72% (0%)	71% (5%)	65% (5%)
	Subnational plans in place (in progress)	26% (10%)	21% (9%)	13% (6%)	11% (4%)	3% (11%)	0% (5%)
	Vertical coordination in place (in progress)	32% (8%)	26% (8%)	30% (4%)	23% (2%)	13% (8%)	10% (5%)
Featuring a framework for monitoring and evaluation (M&E)	M&E framework in place (under development) <sup>b</sup>	26% (36%)	33% (11%)	15% (46%)	30% (13%)	16% (37%)	23% (10%)

**a** The LDC and SIDS categories are not mutually exclusive: some countries form part of both groups. In 2020, there were 47 LDCs. In December 2020, Vanuatu graduated from the category, reducing the number to 46 in 2021 (United Nations 2020). There are 38 SIDS.

**b** The methodology for scoring this indicator has changed since 2020. As such, direct comparisons should be avoided.

Figure 3.4 Adequacy and effectiveness of adaptation planning in 2021



**Note:** The changes in the M&E indicators (5.1–5.3) are not shown because the scoring methodology has changed since 2020.

In some cases, countries also describe efforts to engage particular groups of stakeholders in their adaptation planning, including indigenous peoples and local communities. This follows from the acknowledgement of the Parties, in article 7.5 of the Paris Agreement, that adaptation action should be based on and guided by aspects such as traditional knowledge, the knowledge of indigenous peoples and local knowledge systems. In addition to consulting indigenous peoples and local communities while producing their plans and commitments, there are also examples of countries making reference to supporting indigenous-led solutions and better reflecting that leadership in climate plans, as well as strengthening the capacity of institutions to integrate indigenous and local knowledge in vulnerability and adaptation assessments.

**IMPLEMENTABILITY**

A total of 43 per cent of countries report having put in place a central administrative body to oversee adaptation policymaking and implementation, while the remainder have not done so. This represents a slight increase from the previous analysis in 2020, which reported that only 35 per cent of countries have such a body in place. Common institutional barriers and enablers related to adaptation planning and implementation for both developed and developing countries include institutional coordination and key actors, advocates and champions, initiating mainstreaming and sustaining momentum for adaptation. A central administrative body that is primarily responsible for adaptation can therefore help bolster the effectiveness and continuity of adaptation planning.

**Box 3.3 UNFCCC Gender Action Plan**

At COP 25 in 2019, the Parties agreed a five-year enhanced Lima work programme on gender and its gender action plan to promote gender equality and enhance the implementation of gender-related decisions and mandates in the UNFCCC process. Parties were invited to submit information on efforts to implement the gender action plan in their national reporting under the UNFCCC process.

Countries are increasingly integrating gender-responsive approaches into adaptation planning by using gender-disaggregated data and gender analysis to identify gaps and needs, as well as developing targets and measures to enhance gender equality and monitoring progress in gender-responsive budgeting, planning and implementation. Examples include:

- ▶ The updated NDC of Cabo Verde contains additional detail on measures for climate-empowering women and reducing their vulnerabilities, such as setting a target of increasing the female employment rate to at least 40 per cent in the marine and coastal sector by 2030 (Cabo Verde 2021).
- ▶ Canada continues to advance gender equality and gender-responsive climate policy development and action at the national and multilateral levels. Its latest climate plan included a gender analysis to ensure gender equality in existing policies and programmes and the development of new ones (Canada 2021a; Canada 2021b).
- ▶ The Marshall Islands committed to include enhanced gender-responsive actions and investments in its NAP (Marshall Islands 2020).

Since 2020, there has been a notable increase in the application of the various instruments to ensure the effectiveness of the different adaptation plans and policies. Almost 100 countries have added at least one policy instrument compared to 2020. Half the countries have set aside financial resources to support their identified adaptation options, including through direct funding or budget allocations, a significant increase from the 31 per cent mentioned in the 2020 edition of the AGR. Countries are continuing to make progress in costing their adaptation options, including as part of the development of NDCs and NAPs, and investing domestic resources in adaptation, though there continues to be significant needs for international support in the form of finance, technology transfer and capacity-building, as the most recent NDCs submitted by Parties to the UNFCCC have made clear (UNFCCC 2021).

Around half of countries are now making use of regulatory instruments such as standards and obligations, building codes, zoning/spatial planning and disclosure obligations. Moreover, almost a third include incentives such as taxes or subsidies to encourage adaptation action. Yet, around a quarter of countries do not apply any of those instruments to enhance the implementability of their adaptation plans.

**INTEGRATION**

Currently, 75 per cent of countries report having horizontal coordination mechanisms in place, such as, interministerial committees. This is an 11 per cent increase in established

mechanisms, compared to the 2020 analysis. Additionally, 32 per cent have vertical coordination mechanisms in place, such as a national committee, working group or other body related to adaptation, with representatives from different governance levels. This is 22 per cent higher than found in the previous analysis. Lastly, at least 8 per cent of countries are in the process of establishing vertical coordination mechanisms.

Countries are also advancing horizontal and vertical integration through sectoral and subnational plans. Around 65 per cent of countries have one or more stand-alone sectoral plans in place that address climate change adaptation,<sup>12</sup> while at least 5 per cent of countries are developing such plans. While these figures are limited to stand-alone plans, in many cases countries have also embedded sectoral plans within overarching national-level ones. Furthermore, 26 per cent of countries mention at least one subnational plan in place<sup>13</sup> and an additional 10 per cent of countries noted that such plans are in progress.

**MONITORING AND EVALUATION**

Some 26 per cent of countries have dedicated monitoring and evaluation (M&E) systems for adaptation in place, with a further 36 per cent in the process of developing such a system.<sup>14</sup> A quarter of countries have published an M&E-related progress report while only 8 per cent of countries have already undertaken an evaluation of their adaptation plans. This limits opportunities for learning and revising adaptation planning to make it more adequate and effective.

<sup>12</sup> This includes adaptation plans devised for a given sector, but also other sectoral plans that countries reference as contributing to their adaptation goals and objectives.

<sup>13</sup> Subnational refers to any jurisdiction below the national level, encompassing states and provinces but also cities. However, the figure only captures plans referenced in national reports and thus underestimates the true scale of subnational planning, which is also being advanced through networks such as C40 Cities, 100 Resilient Cities and the Global Covenant of Mayors.

<sup>14</sup> The methodology for scoring this indicator has changed since 2020, meaning direct comparisons should be avoided.





Photo: © CCAFS

This is among the lowest scores in the analysis, which is likely due to the various challenges associated with designing and implementing M&E systems for adaptation, such as a lack of standard best practice methodologies and the difficulty of attributing outcomes to specific adaptation interventions (Christiansen *et al.* 2016; Bours, McGinn and Pringle 2014). Indeed, as with the 2020 analysis, countries continue to reference these challenges and stress that additional resources and capacity-building are required to overcome them and develop effective and sustainable M&E systems.

#### ADAPTATION PLANNING IN LDCs AND SIDS

The Paris Agreement recognizes that LDCs and SIDS are particularly vulnerable to the adverse effects of climate change and have significant capacity constraints (articles 9.4 and 11.10). To understand how these countries are progressing with adaptation planning in the face of these challenges, the analyses mentioned above have been disaggregated into SIDS and LDCs (table 3.2). These results show that, while SIDS and LDCs are performing on par with the global average in most areas, in other areas (for example, subnational plans, M&E, policy instruments and – in the case of SIDS, vertical coordination and central administrative bodies as well), they are lagging behind by 10 per cent or more. In some cases – such as subnational plans and vertical coordination – these indicators may be of slightly less importance in smaller countries like SIDS. Stakeholder engagement is the one area in which SIDS significantly outperform the global average. Overall, however, it is clear that SIDS and LDCs continue to require support to advance their adaptation planning.

### 3.4 Conclusion and outlook

Around the world, countries continue to make progress in establishing adaptation plans, strategies and laws at the national, subnational and sectoral levels, and in taking

steps to bolster the quality of these instruments. While the widespread disruption caused by the COVID-19 pandemic may have weakened this progress in some cases (chapter 6 provides an analysis on the emerging consequences of the pandemic on national adaptation planning), it is not yet possible to draw decisive conclusions regarding its impact on global adaptation planning.

Nonetheless, it is clear that countries remain committed to developing new adaptation plans, strategies and policies to meet their evolving needs, and to improving these instruments so that they are better equipped to enhance their adaptive capacity, strengthen their resilience and reduce their vulnerability to the impacts of climate change. Indeed, as compared with the baseline analysis in AGR2020, this chapter shows progress both in terms of the number of plans and their adequacy and effectiveness. With the exception of M&E, for which a direct comparison is not possible due to the change in scoring methodology, this analysis reflects progress in all indicators on both the status of adaptation planning and its adequacy and effectiveness. While, in most cases, this progress has been incremental, there are areas, such as the field of gender, where there has been a large boost in progress.

At the same time, significant gaps remain with respect to vertical coordination mechanisms, subnational plans, central administrative bodies for adaptation and M&E. Countries and other stakeholders should therefore redouble their efforts in these areas, including support in particularly challenging areas, such as M&E, in order to put themselves and the world on a path towards adequate and effective adaptation planning. However, the ultimate test of this adequacy and effectiveness will be whether these plans are implemented and, in turn, whether this implementation reduces risk and vulnerability and bolsters resilience and adaptive capacity (chapter 5 discusses implementation in further detail).

## References

### Chapter 3

- Bours, D., McGinn, C. and Pringle, P. (2014). *Guidance note 1: Twelve reasons why climate change adaptation M&E is challenging*. SEA Change Community of Practice and UKCIP. [www.ukcip.org.uk/wp-content/PDFs/MandE-Guidance-Note1.pdf](http://www.ukcip.org.uk/wp-content/PDFs/MandE-Guidance-Note1.pdf).
- Canada (2021a). *Canada's 2021 Nationally Determined Contribution Under the Paris Agreement*. Ottawa. [https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Canada%20First/Canada%27s%20Enhanced%20NDC%20Submission1\\_FINAL%20EN.pdf](https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Canada%20First/Canada%27s%20Enhanced%20NDC%20Submission1_FINAL%20EN.pdf).
- (2021b). *Canada's Adaptation Communication to the United Nations Framework Convention on Climate Change*. Gatineau: Environment and Climate Change Canada. [https://unfccc.int/sites/default/files/resource/Adaptation%20Communication\\_Canada\\_EN.pdf](https://unfccc.int/sites/default/files/resource/Adaptation%20Communication_Canada_EN.pdf).
- Christiansen, L., Schaer, C., Larsen, C. and Naswa, P. (2016). *Monitoring & Evaluation for climate change adaptation: A summary of key challenges and emerging practice. Understanding, discussing and exemplifying the key challenges of M&E for adaptation*. Denmark: UNEP DTU Partnership. [https://backend.orbit.dtu.dk/ws/portalfiles/portal/157400902/MandE\\_challenge\\_guidance\\_note\\_01\\_07\\_16.pdf](https://backend.orbit.dtu.dk/ws/portalfiles/portal/157400902/MandE_challenge_guidance_note_01_07_16.pdf).
- Dazé, A., Price-Kelly, H. and Rass, N. (2016). *Vertical Integration in National Adaptation Plan (NAP) Processes: Guidance Note*. Winnipeg: International Institute for Sustainable Development. <https://www4.unfccc.int/sites/NAPC/Documents%20NAP/Supplements/Vertical-Integration-in-NAP-Processes-Guidance-Note.pdf>.
- European Commission (2018). *Horizontal assessment of the adaptation preparedness country fiches*. Brussels: European Commission. <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018SC0461&from=EN>.
- Intergovernmental Panel on Climate Change (2021). *Summary for Policymakers*. In *Climate Change 2021: The Physical Science Basis. Contribution of Working Group I to the Sixth Assessment Report of the Intergovernmental Panel on Climate Change*. Masson-Delmotte, V. et al. (eds.). Cambridge University Press. In Press.
- Leiter, T. (2021). Do governments track the implementation of national climate change adaptation plans? An evidence-based global stocktake of monitoring and evaluation systems. *Environmental Science & Policy* 125, 179–188. <https://doi.org/10.1016/j.envsci.2021.08.017>.
- Mimura, N., Pulwarty, R.S., Duc, D.M., Elshinnawy, I., Redsteer, M.H., Huang, H.Q. et al. (2014). Adaptation planning and implementation. In *Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change*. Field, C.B. et al. (eds.). Cambridge University Press.
- Nachmany, M., Byrnes, R. and Surminski, S. (2019). *National laws and policies on climate change adaptation: a global review*. Policy Brief. Grantham Research Institute on Climate Change and the Environment. [www.lse.ac.uk/granthaminstitute/wp-content/uploads/2019/12/National-laws-and-policies-on-climate-change-adaptation\\_A-global-review.pdf](http://www.lse.ac.uk/granthaminstitute/wp-content/uploads/2019/12/National-laws-and-policies-on-climate-change-adaptation_A-global-review.pdf).
- Republic of Cabo Verde (2021). *Cabo Verde: 2020 Update to the first Nationally Determined Contribution (NDC)*. Praia. [https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Cabo%20Verde%20First/Cabo%20Verde\\_NDC%20Update%202021.pdf](https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Cabo%20Verde%20First/Cabo%20Verde_NDC%20Update%202021.pdf).
- Republic of the Marshall Islands (2020). *Update communication on the Marshall Islands Paris Agreement NDC*. <https://www4.unfccc.int/sites/NDCStaging/pages/Party.aspx?party=MHL>.
- United Nations (2020). Vanuatu has graduated from the LDC category, 4 December. [www.un.org/ldcportal/vanuatu-has-graduated/](http://www.un.org/ldcportal/vanuatu-has-graduated/). Accessed 13 October 2021.
- United Nations Environment Programme (2021). *The Adaptation Gap Report 2020*. Nairobi. [www.unep.org/resources/adaptation-gap-report-2020](http://www.unep.org/resources/adaptation-gap-report-2020).
- United Nations Framework Convention on Climate Change (2016). *Report of the Conference of the Parties on its twenty-first session, held in Paris from 30 November to 13 December 2015. Addendum. Part two: Action taken by the Conference of the Parties at its twenty-first session*. 29 January. FCCC/CP/2015/10/Add.1. <https://unfccc.int/resource/docs/2015/cop21/eng/10a01.pdf>.
- (2020). *Progress in the process to formulate and implement national adaptation plans*. [https://unfccc.int/sites/default/files/resource/sbi2020\\_inf13.pdf](https://unfccc.int/sites/default/files/resource/sbi2020_inf13.pdf).
- (2021). *Nationally determined contributions under the Paris Agreement: Synthesis report by the secretariat*. [https://unfccc.int/sites/default/files/resource/cma2021\\_08\\_adv\\_1.pdf](https://unfccc.int/sites/default/files/resource/cma2021_08_adv_1.pdf).
- United Nations Framework Convention on Climate Change Adaptation Committee (2019a). *25 Years of Adaptation Under the UNFCCC*. Bonn. [https://unfccc.int/sites/default/files/resource/AC\\_25%20Years%20of%20Adaptation%20Under%20the%20UNFCCC\\_2019.pdf](https://unfccc.int/sites/default/files/resource/AC_25%20Years%20of%20Adaptation%20Under%20the%20UNFCCC_2019.pdf).
- (2019b). *Various approaches to long-term adaptation planning*. Bonn: UNFCCC. <https://unfccc.int/sites/default/files/resource/variousapproaches%20.pdf>.

United Nations Framework Convention on Climate Change LDC Expert Group (2012). *National Adaptation Plans: Technical guidelines for the national adaptation plan process*. [https://unfccc.int/files/adaptation/cancun\\_adaptation\\_framework/application/pdf/naptechguidelines\\_eng\\_high\\_\\_res.pdf](https://unfccc.int/files/adaptation/cancun_adaptation_framework/application/pdf/naptechguidelines_eng_high__res.pdf).

----- (2015). *Monitoring and assessing progress, effectiveness and gaps under the process to formulate and implement National Adaptation Plans: The PEG M&E tool*. [https://unfccc.int/files/adaptation/application/pdf/50301\\_04\\_unfccc\\_monitoring\\_tool.pdf](https://unfccc.int/files/adaptation/application/pdf/50301_04_unfccc_monitoring_tool.pdf).