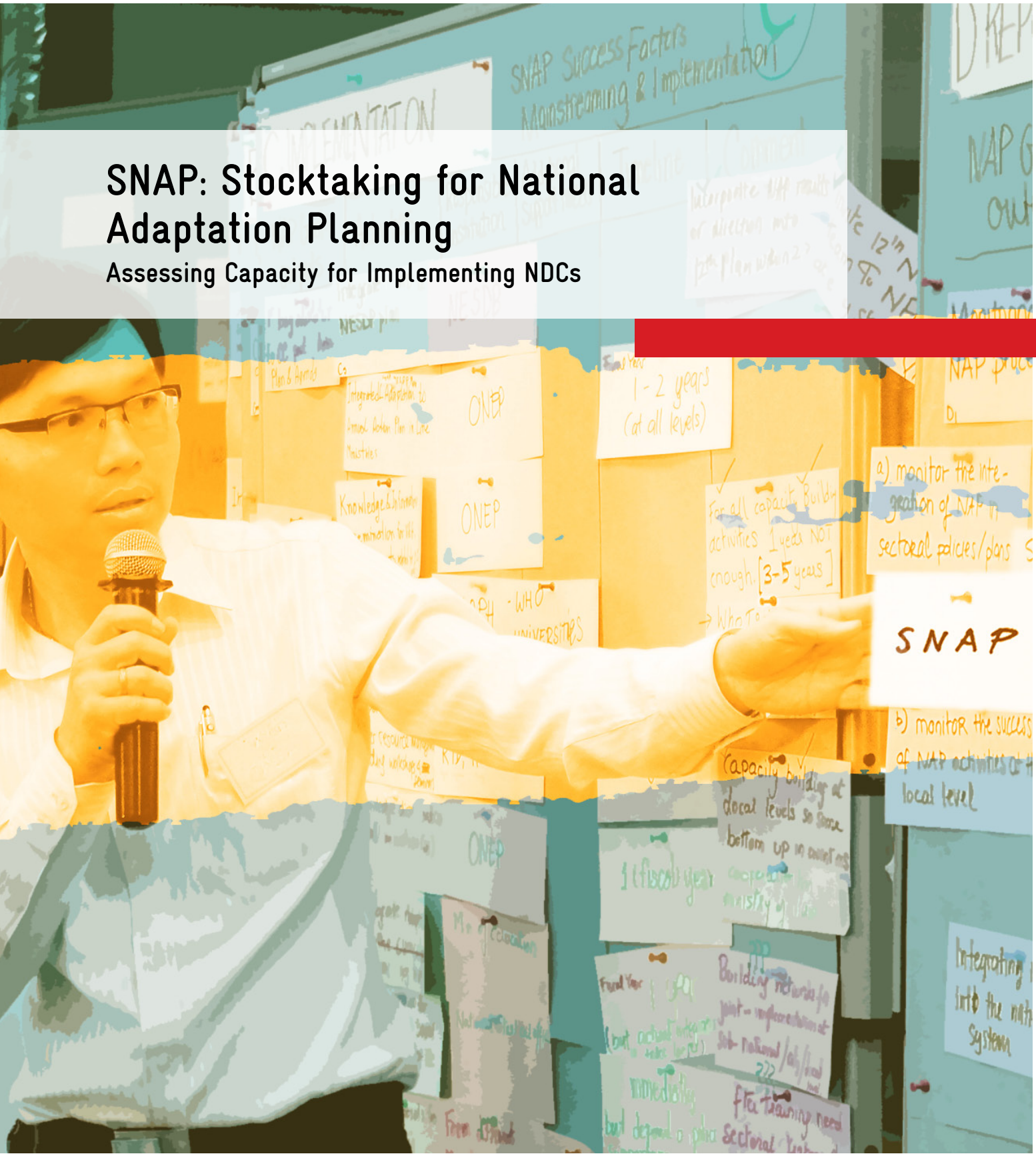
SNAP: Stocktaking for National Adaptation Planning

Assessing Capacity for Implementing NDCs



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Figures / Tables / Acronymes

ADB	*Asian Development Bank*
BMUB	*Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (Bundesministerium für Umwelt, Naturschutz, Bau und Reaktorsicherheit)*
BMZ	*Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung)*
CAF	*Cancun Adaptation Framework*
CD	*Capacity Development*
CDKN	*Climate & Development Knowledge Network*
CRASP	*Climate Resilience Strategy and Action Plan (Guyana)*
CRM	*Comprehensive Risk Management*
DAS	*German Climate Adaptation Strategy (Deutsche Anpassungsstrategie)*
DFID	*Department for International Development (United Kingdom)*
GCF	*Green Climate Fund*
GIZ	*Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH*
ICCAS	*Integrated Climate Change Adaptation Strategies*
(I)NDC	*(Intended) Nationally Determined Contributions*
IPCC	*Intergovernmental Panel on Climate Change*
LDC	*Least Developed Country*
LEG	*Least Developed Countries Expert Group*
MERF	*Ministry of Environment and Forest Resources (Togo)*
MoE	*Ministry of Environment*
NAP	*National Adaptation Plan*
NAPA	*National Adaptation Programmes of Action*
NAPCC	*National Action Plan on Climate Change (India)*
NATCOM	*National Communication*
NCCPA	*National Climate Change Policy and Action Plan (Grenada)*
OECD	*Organisation for Economic Co-operation and Development*
ONEP	*Office of Natural Resources and Environmental Policy and Planning (Thailand)*
PBA	*Programme Based Approach*
PEG	*Programme Effectiveness Gap*
SNAP	*Stocktaking for National Adaptation Planning*
SSNAP	*Stocktaking for Sub-National Adaptation Planning*
UAPCC	*Uttarakhand Action Plan on Climate Change*

Contents

1 INTRODUCTION

For the first time ever the Paris Agreement provides parity between mitigation and adaptation in a binding international climate framework. Most Intended Nationally Determined Contributions (INDCs), in particular from developing countries, include adaptation components, it is therefore likely that most of the first Nationally Determined Contributions (NDCs) will also include adaptation goals, and the international community is requested to support their implementation. As the then Executive Secretary of the UNFCCC, Christiana Figueres, stated during the Bonn conference in May 2016, National Adaptation Plan processes are the "backbone" for implementing the adaptation component of a country's NDC. Support in national adaptation planning has emanated from development partners who are working closely with governments to design Programme Based Approaches and strengthen local capacity to design, develop, and ultimately deliver effective adaptation action.

The Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ) has to date undertaken over 450 adaptation projects across the globe on behalf of the German Federal Government. Specifically, it has brought its expertise to bear in providing focused and long-term NAP support to 12 countries. This support is closely aligned to NAP objectives emerging from the United Nations Framework Convention on Climate Change (UNFCCC) and aimed at reducing vulnerability and mainstreaming climate adaptation in development planning.

Since the Paris Agreement there has been noticeable convergence that NAP may be the best vehicle for implementing the adaptation goals in the National Determined Contributions (NDCs). This has also lead to growing interest for GIZ's NAP support. Assessing a government's current capacity for adaptation planning and arriving at a consensus on how to prioritise actions is widely regarded as an important prerequisite in laying the groundwork for a National Adaptation Plan (NAP) process. Not surprisingly then, one of the most widely used tools in GIZ's armoury of support instruments for NAP is Stocktaking for National Adaptation Planning or SNAP. SNAP is a tool to assess, enhance, and monitor

a country's capacity for adaptation planning. SNAP engages a cross section of stakeholders through interactive workshops and helps to identify opportunities and a prioritised roadmap for the NAP process. The value of the SNAP tool lies in the fact that the assessment is participatory in scope, and flexible enough to be adapted to the local context. It has been undertaken in six countries and one subnational territory thus far, namely, Albania, Grenada, Guyana, Mauritania, Thailand, Togo, and the Indian state of Uttarakhand.

The application of SNAP in seven different countries has resulted in a wealth of information on its usage. In addition, the process has generated a host of insights within these countries to guide the NAP process. This publication has therefore been conceived to showcase the utility and use of the SNAP tool in the NAP process and highlight results from its application in various geographical terrains. The publication specifically aims to:

- *demonstrate the use of the SNAP tool;*
- *explore its value in the context of undertaking and reviewing the NAP process;*
- *highlight the results of its application in several countries;*
- *analyse how SNAP can further support the NAP process.*

The publication's intended audience are NAP focal points in partner countries, technical support units for NAP, donor agencies, organisations supporting NAP planning, and the wider public interested in the NAP process.

The publication comprises six key chapters:

Chapter 1, the current chapter, introduces the publication and its structure.

Chapter 2 outlines the trajectory of adaptation planning in the international context with a focus on national adaptation planning in achieving climate resilient development. The chapter describes how multilateral and bilateral agencies, including GIZ, have been designing their support programmes (such as SNAP) to assist countries in developing their adaptation strategies.

German support for NAP processes

As of May 2016, GIZ on behalf of BMZ (Federal Ministry for Economic Cooperation and Development) and BMUB (Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety) has supported more than 20 countries in advancing their NAP processes. However, the intensity of support varies, depending on different factors and circumstances, such as existing programming, focus areas of German development assistance.

Chapter 3 focuses on factors outlined by various development partners that are considered prerequisites for effective adaptation planning, strengthened over time by experiences accumulated in the individual countries. Emphasis is on the seven success factors developed by GIZ for the SNAP assessment. Each success factor is first defined, then its relevance to the SNAP assessment as well as NAP elements are established, and finally selected country experiences in undertaking that factor are highlighted.

Chapter 4 demonstrates the use of the SNAP tool with a brief introduction to other stocktaking tools. The chapter points out the formats in which SNAP can be applied, the broad categories of stakeholders that need to be involved, and how the assessment is carried out and finally analysed.

Chapter 5 showcases the results of the application of the SNAP tool in several countries. Key insights and lessons learned from the SNAP assessment are emphasised in each case. The chapter probes whether insights from SNAP have guided the NAP process in these countries and whether there is scope to apply SNAP again.

Chapter 6 is the conclusion and revisits some universal insights gained from usage of the SNAP tool and how it can potentially benefit the NAP process going forward.

2

THE ROLE OF
National Adaptation Plans and climate resilient development

The UNFCCC-led 2015 Paris Agreement has placed unprecedented importance on actions required by countries to adapt with the aim of strengthening climate resilience globally.

Evidence of climate change and its impacts on natural and human systems has been growing, offering an alarming array of risk scenarios. According to the latest projections by the Intergovernmental Panel on Climate Change (IPCC), climate related events – floods, droughts, heat waves, and sea level rise – are expected to cause systemic disruptions resulting in loss of lives and livelihoods, decreased crop yields, breakdown of infrastructure networks and critical services, and loss of marine and coastal ecosystems.[1]

Recognising that climate impacts will exacerbate development challenges in a varied manner across different geographies, the Paris Agreement requests all countries to engage in adaptation planning processes and the implementation of actions (Art. 7 §9). As of May 2016, over 80 % of the countries that have submitted their INDCs, have included an adaptation component and over 30 % of the countries refer to NAP processes. Against this background, there is a noticeable convergence in the belief that NAP may be the best vehicle for implementing adaptation goals highlighted in the NDCs.

While traditional adaptation practices and structural interventions have historically existed, climate adaptation as a global policy response is a more recent phenomenon. It gained currency with the realisation that mitigation alone – however aggressive – would not be able to address climate change effectively and that many Least Developed Countries (LDCs) were already in need of support to tackle the immediate fallouts of climate variability.[2] In 2001, parties under the UNFCCC suggested a number of key steps to address the "special situation" of Least Developed Countries.[3] Chief among these was setting up an LDC expert group, developing NAPAs, and creating a

Least Developed Countries Fund (LDCF). NAPAs, in particular, were developed to help LDCs in identifying priority actions in response to their immediate adaptation needs. NAPAs were designed to capture initiatives required on an urgent basis, a delay of which would deepen local vulnerability and worsen climate impacts. While all 48 LDCs have submitted NAPA projects to the UNFCCC thus far, factors such as non-alignment of NAPAs to national development processes, inadequate local technical expertise, and insufficient local ownership of the plans have acted as barriers to the effective implementation of NAPAs.[4]

In the last decade countries have converged around the idea that adaptation initiatives need to be connected to a country's core development process because of the multi-sectoral nature of climate impacts and significant overlaps between sustainable development goals and adaptation responses.[5]

Acknowledging the aforementioned fact, the UNFCCC established NAPs or the National Adaptation Plan process in 2010 to address medium- and long-term adaptation goals with a dual aim of helping countries reduce their vulnerability to climate change and mainstreaming or aligning adaptation into their development planning. At the Conference of the Parties to the UNFCCC in Durban, the Least Developed Countries Expert Group (LEG) was requested to prepare Technical Guidelines for the NAP process to build on the experiences of the LDCs in addressing adaptation through NAPAs. In addition, multilateral and bilateral agencies were asked to support the NAP process in various countries.

The UNFCCC has outlined some key underlying requirements for enhanced adaptation as listed in Table 1 and proposes four elements (A to D) that are meant to function as building blocks of the NAP process (see Figure 1).[6] The NAP guidelines build on these themes and four elements by proposing a number of steps for each element as well as guiding questions to assist in the implementation of these steps (see Table 1).

Since 2012, bilateral and multilateral agencies have initiated support programmes in developing countries focused on assisting governments in the NAP process.

The support, according to donor agencies like GIZ, typically involves "technical advice, knowledge brokerage, financial support, and regional or virtual exchanges," as well as training exercises.[7] The assistance is provided recognising that contexts vary and countries are free to choose which elements and steps are appropriate for them, as well as the order in which they are applied, with the flexibility of extending existing or adding new steps.

A key shift in approach by some bilateral and multilateral organisations providing support to developing countries has been to focus on building programmes rather than projects.

Programme Based Approaches (PBAs) were first initiated in the health and education sectors to progress from "scattered 'islands' of support",[8] to assist governments or organisations with entire sector based, issue-driven or thematic programmes. PBAs were introduced to improve the ownership of the government or organisation supported by the initiative. Later, the Paris Declaration (2005), a roadmap to improve the quality of aid and its impact on development, through its five principles of "ownership, alignment, harmonisation, managing for development re-

Table 1: UNFCCC requirements for enhanced adaptation

1. Be undertaken in accordance with the Convention.
2. Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems.
3. Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate.
4. Not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned and country-driven action.

sults and mutual accountability", reinforced the need for PBAs as a means to operationalise these principles.

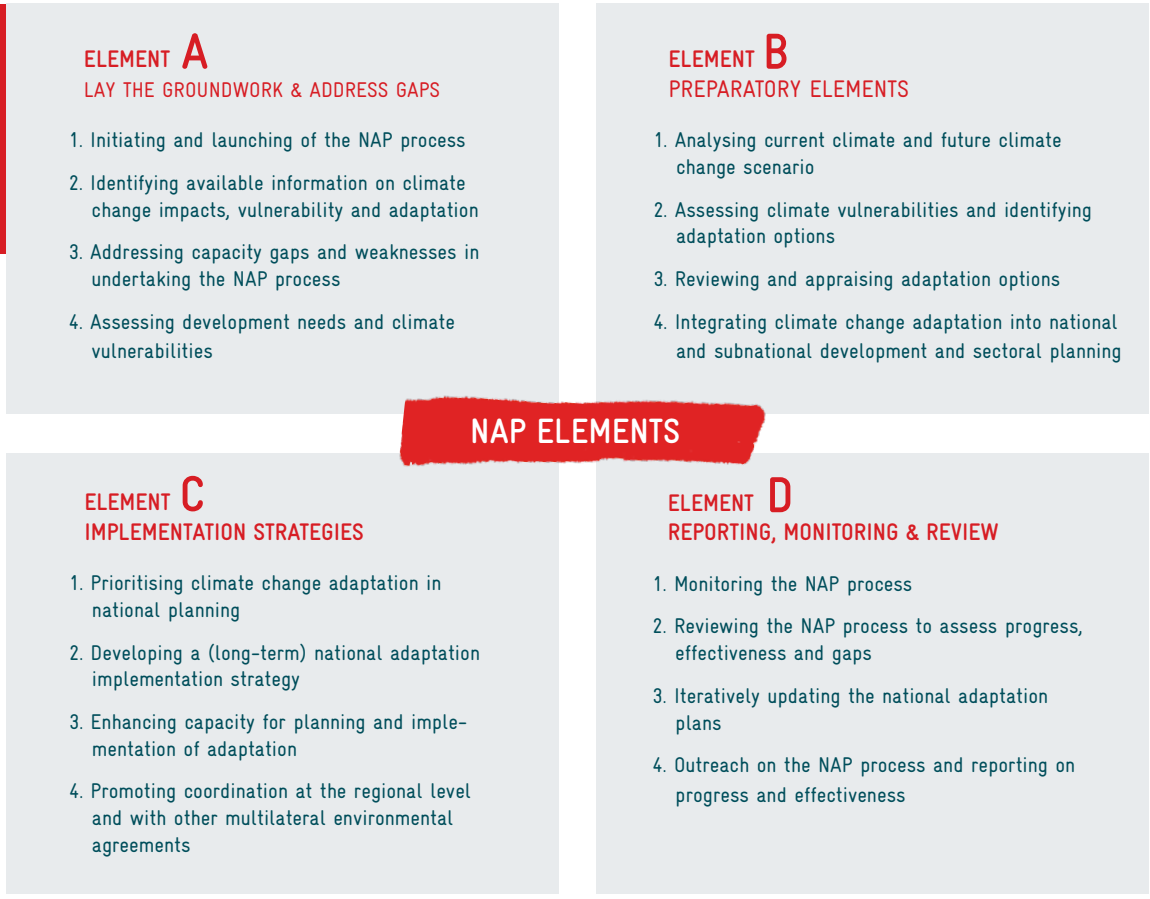
A programmatic approach takes the long view towards addressing climate change. As the Global Environmental Facility notes, "project-based activities provide recipient countries with very little leverage to influence sector-wide transformations, while a programmatic approach is more likely to deliver synergistic results that benefit all".[9] From a climate perspective, efforts are focused on improving coordination among multiple stakeholders, facilitating greater country-ownership, working at multiple levels, and crucially finding opportunities to co-finance the programme from a variety of sources to ensure its sustainability. Funding mechanisms like the Green Climate Fund (GCF) in their governing instruments reiterate their commitment to finance countries that pursue programmatic approaches in accordance with their NAP processes.

With its support programmes, GIZ has provided focused and long-term support to 12 countries in undertaking NAP processes through a mix of existing and newly developed tools and management approaches. Some of these support instruments are listed below.

1. *Capacity WORKS for NAP*
2. *Aligning NAP processes to development and budget planning (NAP Align)*
3. *Sourcebook Vulnerability*
4. *Climate finance readiness*
5. *Monitoring and Evaluation of adaptation*
6. *Stocktaking for National Adaptation Planning (SNAP)*

The tools have been developed by utilising a combination of global scholarship on effective adaptation, the NAP Technical Guidelines, and crucially, empirical evidence gathered by GIZ thanks to its engagement in countries on climate change through over 450 adaptation projects. Using the programmatic approach, and with the intent of building upon existing processes, these instruments are sometimes undertaken in partnership with other development partners working on climate change in the country.

Figure 1:
NAP elements and steps



Tools and approaches (for NAP)	Application example
"Capacity WORKS," for instance, incorporates a management model, employing a number of techniques such as stakeholder mapping and SWOT analysis (strengths, weaknesses, opportunities, and threats) to help countries effectively coordinate between existing climate institutions and actors while developing the NAP.	GIZ applied Capacity WORKS in **Cambodia** in 2014 resulting in key stakeholders drafting a roadmap for the NAP process in the country as well the identification of six strategic intervention areas.
"NAP Align" is aimed at helping countries integrate the NAP process into their development and budget planning processes through an analysis of their planning and budgeting systems at an early stage of the NAP process.	NAP Align was undertaken by GIZ in **Togo** in conjunction with SNAP. The process highlighted entry points into existing planning cycles and helped create a mandate for the NAP process.
"The Sourcebook Vulnerability" offers a standardised approach to vulnerability assessments in different climatic, regional and sectoral contexts.	The Government of Algeria is using GIZ's approach for a vulnerability assessment study as a means of better understanding the impact of climate change at the national level and as an input into the National Climate Plan that is being updated. In this context, spatial mapping is being used to identify vulnerable areas that require special and specific adaptation measures.
Climate finance readiness programmes are carried out to improve the capacity of developing countries in accessing and using international climate finance through resources such as the Green Climate Fund (GCF) and other international and domestic climate funds. The support can also include assistance in the preparation of the funds' application process.	GIZ has supported the **Indian states** of Andhra Pradesh, West Bengal and Madhya Pradesh and helped them obtain finance for projects from the Adaptation Fund (AF) of the UNFCCC.
GIZ provides technical support for the monitoring and evaluation (M&E) of adaptation at different levels.	GIZ was able to assist the Climate Change Commission of the Philippines in developing a results-based M&E system aiming at evaluating the efficiency, effectiveness, and outcomes of the country's National Climate Change Action Plan, which is a roadmap for adaptation and mitigation from 2011 to 2028.

Stocktaking for National Adaptation Planning or SNAP has been the most widely used tool in GIZ's catalogue of approaches – apart from their training programmes – to support countries in undertaking NAPs. It has been applied in the least developed and emerging countries, and at national and subnational levels (see Table 2). SNAP is an assessment tool designed to understand the capacity of a country to undertake the NAP process. The assessment is based on seven "success factors" considered crucial imperatives for effective adaptation planning (see Table 3 in Chapter 3, p. 12). The resultant qualitative and quantitative analysis is aimed at providing a snapshot of current capacity gaps and strategic interventions as articulated by a cross-section of key stakeholders in the country. SNAP is designed to highlight opportunities and challenges in developing NAPs in order to create a policy outcome that would better fit the context of the individual countries.

GIZ's and other partners' experience in applying SNAP in different countries has resulted in insights that can, in turn, guide how this support tool can be expanded and improved. This publication highlights how SNAP has been applied in the various countries, what key insights have emerged, and how SNAP can be made more effective as a NAP support tool and extended to other country contexts.

Table 2: SNAP has been implemented in:

1. Albania
2. Grenada
3. Guyana
4. Mauritania
5. Thailand
6. Togo
7. Uttarakhand, India

3

SNAP SUCCESS FACTORS:

Key ingredients to map success in national adaptation planning

Faced with complex developmental and environmental challenges and limited resources, governments have to choose between competing priorities. The UNFCCC, the LEG, and various development partners offering technical assistance on developing adaptation plans recognise that adaptation cannot be another contending objective; it needs to be dovetailed into existing policy processes. Its adoption depends on it being country-driven, country-owned, and integrated into existing development planning. Many organisations have thrown the spotlight on key factors they consider prerequisites for effective adaptation planning, strengthened over time by individual country experiences. The order and description of these factors vary but they all point in the same direction.

The following is a short description of such key factors or "good guidance" for effective adaptation presented in some programmes:

I. In April 2015 the UNFCCC held a "NAP Expo" so as to allow various country stakeholders to share their experiences in developing NAPs. Some key messages emerged, namely, the need for political will and country ownership, to integrate adaptation into development planning, focus on **integrated planning** with inputs from **diverse stakeholders**, the need to put in place **robust monitoring and reporting** systems to guide the integration, and to ensure that **capacity** is built **within the country,** and **plans** are **implemented**.

II. The **LEG** in 2013, in offering further guidance to the NAP process, consolidated "**10 essential functions**" required to formulate and implement NAPs. These include the need for **national leadership** and for coordinating adaptation efforts, **analysing climate data** and assessing vulnerabilities, identifying and **addressing capacity gaps**, assessing **climate-development linkages** and needs, supporting the **integration and prioritisation** of adaptation into national and subnational development and sectoral planning, and facilitating **monitoring, review and update** of adaptation plans over time. These functions are currently being used to build LEG's "Monitoring and Evaluating Progress, Effectiveness, and Gaps" (M&E PEG) tool.[10]

III. Recognising that climate adaptation needs to be framed as a development imperative, **GIZ's** approach to adaptation is termed, **"Climate Proofing for Development".** It contains specific analytical steps to assess climate risks and opportunities in development planning, and help identify and prioritise adaptation responses. As of 2016, the approach has been applied in over 30 countries including Mali, Vietnam, and the Philippines. The lessons learned from its application in these countries were captured in a report.[11] These lessons include **identifying key stakeholders** to **build ownership** in the process, creating a **common understanding and language** of climate adaptation, handling climate change information appropriately,

identifying a good entry point, allocating **adequate time and funding**, and testing the approach through **monitoring and evaluation** procedures.

IV. In 2008, the German Federal Cabinet adopted the **German Strategy for Adaptation to Climate Change** (Deutsche Anpassungsstrategie) or DAS. The DAS provides a strategic framework for adapting to climate change, which is intended to mobilise action by diverse stakeholders. For instance, the German Government has stressed the need for multi-level governance through coordination and linkages at all levels, mainstreaming adaptation into **different sectoral policies**, and the commitment and **participation** of various governmental and non-governmental actors. The German adaptation strategy also employs an **indicator-based monitoring system,** reiterating the importance of monitoring and evaluating the NAP process.

Using the UNFCCC and LEG guidelines, and individual country experiences in applying adaptation policies across the globe, GIZ has distilled seven success factors, representing important steps in building an effective NAP process. These success factors together form the basis of GIZ's SNAP assessment tool. These are:

1. *Climate information*
2. *Human and institutional capacities*
3. *Long-term vision and mandate*
4. *Implementation*
5. *Mainstreaming*
6. *Participation*
7. *Monitoring and Evaluation*

Table 3 provides a brief definition of the success factors and the remainder of the chapter looks into the definition and rationale of each success factor, key components of that factor captured in the SNAP assessment, and some individual national experiences in managing that factor.

Table 3: SNAP success factors

1. Climate information	Data about climate variability and change and associated impacts such as extreme weather events, vulnerabilities and adaptation options that provide the basis for decision-making on responses to climate change. Climate information could also include perception studies.
2. Human and institutional capacities	The ability of stakeholders and institutions (government departments, NGOs, research institutions, representative bodies) to coordinate adaptation processes as well as use and manage climate information.
3. Long-term vision and mandate	Creating a common understanding on long-term objectives for national and sub-national development taking climate change into account, as well as a mandate to align key processes with this vision.
4. Implementation	The quality, quantity and strategic orientation of measures implemented on the ground (both policies and projects) to enhance resilience and/or reduce vulnerability to changes in climate.
5. Mainstreaming	The process of integrating climate action & adaptation into development processes at all planning levels, including national, sectoral, and subnational policy documents and programmes as well as budgetary processes.
6. Participation	The involvement of representatives from government and private entities, as well as civil society, NGOs, and local community groups. Involving women's representatives and other disadvantaged groups is especially important since they are often disproportionally affected by climate change.
7. Monitoring and Evaluation (M&E)	Monitoring climate change impacts, financial resources, as well as monitoring and evaluating adaptation results provides valuable information for adaptation planning and decision-making. M&E systems for adaptation can ensure effective resource allocation, improve accountability, strengthen the coordination of adaptation plans and activities, and foster learning on adaptation.

3.1 Climate information

Definition: Climate information refers to data about climate impacts, vulnerabilities, and adaptation options that provide the basis for robust decision making about responses to climate change.

Rationale: Adapting to the consequences of climate change requires decisions that are complex, potentially costly, and that have long-term implications. Given the limited resources, adaptation needs to target those systems that will be most adversely affected by climate impacts. Climate change introduces another source of uncertainty into decision-making, in that it is impossible to be certain about the exact impacts of climate change and the outcomes of adaptation responses. Decision makers must thus be well informed and able to manage uncertainty; they require information about climate impacts, vulnerability and technical options, in order to plan and implement concrete measures at national and local levels. Uncertainty is perceived as an insurmountable obstacle to real action, in particular with regard to adaptation, but also for the implementation of integrated activities that would promote both mitigation and adaptation.[12] Climate information also distinguishes a business-as-usual development goal from a climate resilient development goal. While many sustainable development practices can improve climate resilience, offering indirect adaptation benefits,[13] climate resilient development necessitates the use of information about climate vulnerability, risk and appropriate adaptation responses now and in the future.

Key components linked to SNAP: Climate information refers to three main types of data, also reflected in the SNAP assessment:

- *Climate science (observed and projected changes): data on variability and change in climate variables such as sea level rise, temperature, precipitation and extreme weather events.*
- *Vulnerability/impact studies: data produced through vulnerability assessments, encompassing a variety of elements including sensitivity, exposure and adaptive capacity, requiring good baseline data.*
- *Adaptation options: data on technical measures to adapt, including information on identifying and appraising adaptation options, in order to select the most appropriate actions.*

"Climate information" in the UNFCCC NAP Technical Guidelines: Element B

As described in the section "Element B. Preparatory Elements" of the NAP Technical Guidelines, two steps relate closely to climate information: 1) analysing current climate and future climate change scenarios, and 2) assessing climate vulnerabilities and identifying adaptation options.

Experience on climate information: The importance of climate information in adaptation planning is well recognised in international best practice and policy guidance within the UNFCCC, and is reflected in GIZ's international experience as well as in the German Climate Adaptation Strategy (DAS). Under the UNFCCC's Cancun Adaptation Framework (CAF), action to reduce vulnerability and build resilience should be "guided by the best available science and, as appropriate, traditional and indigenous knowledge…".[14]

Assessing the level of availability and quality of climate information in a particular country provides a sense of the evidence upon which effective adaptation planning decisions can be based, and whether further information is needed, in order to focus on the early stages of the NAP process on such research and information-oriented activities.

3.2 Human and institutional capacities

Definition: Human and institutional capacities refer to the ability of stakeholders and institutions to coordinate adaptation processes as well as to use and manage climate information.

Rationale: The availability of information on climate science, vulnerability, and adaptation options constitutes one part of the adaptation equation

– human and institutional capacity is required to access, interpret, and communicate this information, to understand its relevance for decision-making and ultimately to put it into practice. This is particularly important with respect to the uncertainty created by climate change, which requires skills in adaptive management. Practitioners and policymakers must be able to manage uncertainty and make decisions that are robust in the face of a range of possible futures, and also develop adaptation strategies that are open-ended and flexible. Furthermore, human and institutional capacity is needed to manage and coordinate adaptation planning processes, which are often cross-sectoral in nature, in order to effect change. Coordination helps to avoid duplication or gaps, and creates economies of scale in responding to climate change challenges, for example, through horizontal coordination between the ministries responsible for water and agriculture, vertical coordination between national and state level administrators, as well as policy dialogues that include civil society representatives. Benefits accruing from collaboration – access to more data, cross-sectoral learning, new approaches to tackle existing challenges – can act as powerful incentives for institutions and individuals to promote coordination.

Human and institutional capacities in the UNFCCC NAP Technical Guidelines: Elements A-D (cross-cutting)

The assessment of human and institutional capacity is recognised within Element A of the NAP Technical Guidelines ("Laying the groundwork and addressing gaps"): the "identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership on adaptation" is identified as a key aspect of this element. In practice, human and institutional capacities are an integral part of each of the four NAP elements, from laying the groundwork and addressing gaps, to implementation strategies, reporting, monitoring and review.

Key components linked to SNAP: Recognising that capacities differ at different levels, the SNAP tool aims to bring together a variety of stakeholders representing diverse sources of human and institutional capacity within a country – government ministries and agencies, the private sector, NGOs, research and academic institutes and representative groups. It is essential to include donor agency representatives as observers in a SNAP workshop to ensure better coordination of programmes and a shared understanding of stakeholder capacity on adaptation.

In the SNAP tool, human and institutional capacity is assessed in the following three areas:

- *technical knowledge of government agencies on adaptation;*
- *technical knowledge of non-governmental organisations (e.g. universities, research institutes, NGOs and private sector) on adaptation;*
- *level of inter-sectoral coordination on adaptation among and between governmental, and non-governmental organisations.*

Experience of improving human and institutional capacities: Under the UNFCCC, the CAF calls for countries to "implement institutional arrangements to facilitate their national adaptation plan process, building on existing institutions and consistent with their national circumstances".[15] The importance of human and institutional capacities for each step of the adaptation planning process is reflected in GIZ's international experience. In fact, GIZ's Capacity Works toolkit includes tool no. 8, which is designed to assess and optimise strategies aimed at building capacity on three levels: individual, organisational and societal. The following steps are undertaken as part of the Capacity Development (CD) strategy:

1. *Understanding the concept of a CD strategy*
2. *Determining the focus of the CD strategy*
3. *Defining current and intended capacities*
4. *Devising activities and hypotheses*
5. *Discussing the interactions between the three levels of CD*
6. *Discussing complementary activities by other projects/actors*

The ultimate aim of the CD strategy is to strengthen the "ability of people, organisations and societies to manage their own sustainable development processes and adapt to changing circumstances. This includes recognising obstacles to development, designing strategies to tackle them, and then successfully implementing those strategies".[16]

Assessing human and institutional capacity available within a country is an essential step to designing effective interventions for further capacity building activities such as training courses, as well as identifying ways to build networks and encourage cross-sectoral coordination. The SNAP workshop provides a useful starting point in bringing a cross section of stakeholders together, who may thus begin a dialogue and share relevant experience and information.

3.3 Long-term vision and mandate

Definition: Long-term vision and mandate refers to developing a common understanding on long-term objectives for national development, taking climate change into account as well as a mandate to align key processes with this vision.

Rationale: This success factor relates to an acknowledgement by a country's government that climate change is a priority, usually reflected in national policies and strategies, or the existence of a climate change strategy and/or plan. A long-term vision and mandate endorsed at the highest political level underpins all other success factors: It mobilises institutional planning and the support needed for the NAP process, and provides the basis for technical and financial resources to be allocated to adaptation. It also sends a signal of political intent to the private sector and civil society. Because climate change is a long-term challenge, it requires planning horizons that outrun political cycles, and a long-term vision is important to ensure that implementation continues beyond a government's term of office. Accordingly, under the UNFCCC, the CAF calls for countries to develop NAPs as "a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs". However, it is essential that short-term impacts be also addressed. In addition, long-term planning should not be construed by stakeholders as deferring actions to a later date for subsequent governments to take.

Long-term vision and mandate in the UNFCCC NAP Technical Guidelines: Element A

The section "Element A. Lay the groundwork and address gaps" of the NAP Technical Guidelines – an essential, and often early, step in a successful NAP process – recommends: "Create or enhance a national vision and mandate for the NAP process". This may be through an act of parliament, a national directive, an executive order signed by the president, a national policy or another instrument based on that country's national planning context. A national mandate for the NAP process could include various initiatives, including the designation of a leader for the NAP process, who may be supported by a committee, department or ministry, or board; elaboration of specific steps to be taken to implement the mandate, such as the elaboration of a framework and strategy; a budget for the NAP process; and reporting instructions on the NAP process.

Key components linked to SNAP: The SNAP tool focuses on the following three areas with regard to long-term vision and mandate:

- *the existence of a coherent official national plan or strategy for climate change that includes adaptation or the extent to which adaptation is recognised in a government's development plans and strategies;*
- *the extent to which the country's official climate change and/or adaptation strategy takes into account the impacts of climate change in the medium and long term;*
- *the extent to which there is a sufficient and clear mandate to carry out national climate change adaptation planning.*

Experience on long-term vision and mandate: An indication of the relevance of national vision and

mandate on climate change is evident in a recent study showing that the number of climate related laws and policies across 99 countries, both developed and developing, has increased significantly; it has effectively doubled every five years since 1997.[17] Some countries have created a formal and binding national instrument for their NAP process, such as a decree in Norway, an act in the United Kingdom and a formal order for a technical committee to coordinate the adaptation process in Togo.[18] In addition, in Tunisia's 2014 constitution, Article 45 declares, "The state guarantees the right to a healthy and balanced environment and contributes to climate security".[19]

An assessment of a country's long-term vision and mandate on climate change, specifically on adaptation, indicates the extent to which action on climate change by all other actors is authorised and supported. If a vision or mandate does not yet exist, it will be important to direct early activities of the NAP process toward sensitising decision makers at the highest levels of government on the implications of climate change and the opportunities presented by the NAP process.

3.4 Implementation

Definition: Implementation refers to the strategic orientation of measures that are put on the ground to enhance resilience or reduce vulnerability to changes in climate.

Rationale: The lasting legacy of successful policies and strategies is their conversion from concepts and ideas into action. How a climate plan is finally implemented depends on a number of factors. Important considerations include the scope of the plan's recommendations, how they link with the country's existing development policy framework, finances available, political interest, as well as local priorities and incentives.

Key components linked to SNAP: In the context of the SNAP tool, three aspects of implementation are considered:

- *Whether implementation of adaptation projects is linked to priorities identified in the country's official adaptation plan or strategy.*
- *Whether the country has access to financial resources to cover short-, medium-, and long-term costs for the selected adaptation priorities both from domestic and international sources.*
- *Finally, whether selected adaptation priorities have been budgeted for in the country's overarching planning and budgeting strategy.*

Experience on implementation: UNFCCC's CAF stresses that adaptation projects should be linked to "nationally identified priorities" including objec-

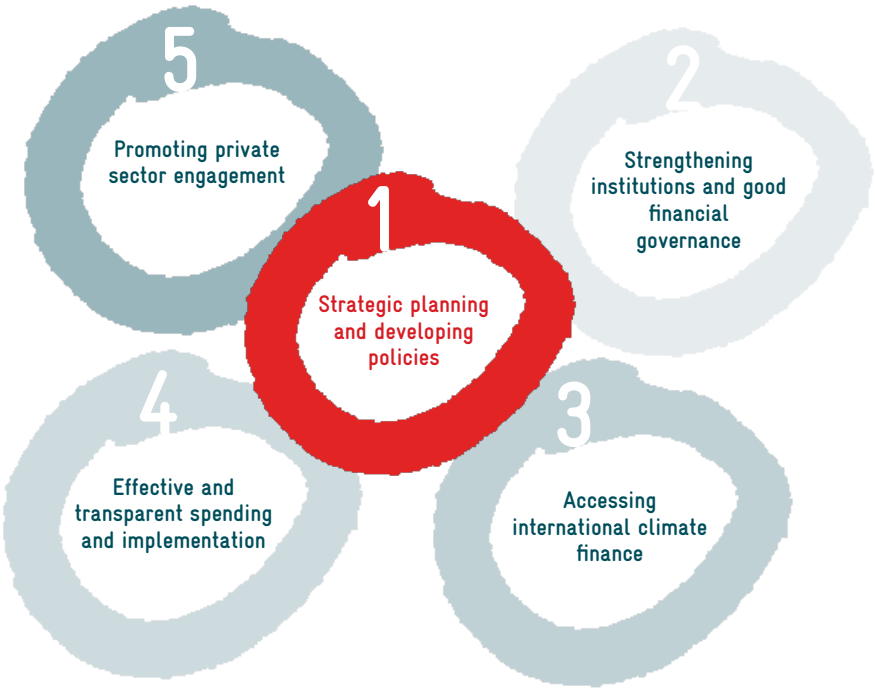


Figure 2:
GIZ's 'Ready for Climate Finance' approach

tives articulated in national documents and strategies, so that adaptation action is closely coordinated with a country's national sustainable development objectives.

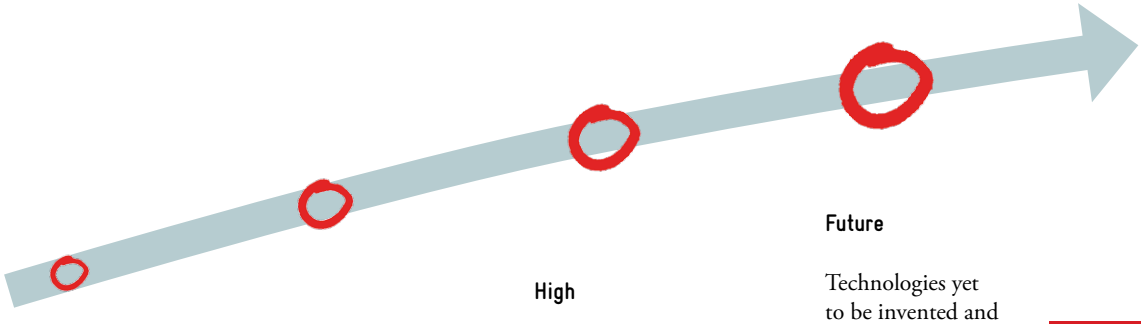
Translating adaptation plans into actions requires the mobilisation of substantial financial resources. The SNAP assessment is focused on understanding if a country is aware of the availability of funds to finance climate adaptation activities both domestically and internationally, and if it has access to these resources. Secondly, if a country's development strategy has budgeted funds for adaptation, since that is the most crucial indicator of mainstreaming.

As GIZ's climate finance readiness support programme states, "for climate finance to be effective, partner countries must be prepared for the tasks involved in the administration and investment of resources".

Figure 2 outlines the various steps that a country typically needs to follow to build on its climate finance readiness. While international sources for finance still constitute a miniscule portion of climate funding globally, it is estimated that in the future, a large proportion of resources will be directed and disbursed through financial mechanisms like the Green Climate Fund (GCF), 50% of which is intended to be used for adaptation. SNAP gauges the state of climate finance readiness in a country by understanding a country's capacity to access climate funds and use these resources effectively.

For many countries, it is not just finances, but access to adaptation technology that has become an important prerequisite for implementation. In recognition of this need, a new institutional set-up was created following the UNFCCC Cancun Agreement called the "Technology Mechanism", designed to promote the transfer of such technologies to developing countries.

Figure 3 lists different technology approaches employed by GIZ in its adaptation support programmes.



Traditional

Approches developed by traditional societies to adapt to weather variability suited to local envirnomental and socio-economic condtions.

Agricultural sector, GIZ Niger:

Use of stone lines by local farmers to improve water infiltration and to slow down run-off in drought areas in Niger.

Modern/Improved

Modified or expanded technologies using different materials or designs, e.g. to make traditional measures more effective.

Agricultural sector, GIZ India:

Afforestation activities combined with the use of improved seeds and stone lines in the context of strategic land use management systems for improving soil and water conservation in India.

High

Newly created technologies based on scientific advances usually demanding intensive use of resources and long-term investments.

Cross-sectoral activities, GIZ Indonesia:

Establishment of a "Climate Change Information System" (CCIS) based on standard IT products. Acquisiton and rescue of historical climate data, storage, processing and development of climate information products according to user's needs in Indonesia.

Future

Technologies yet to be invented and developed which could play and important role in the process of adaptation.

Health sector, international research organisations:

Malaria vaccine (currently under development) to reduce the projected increasing spread of malaria driven by higher temperatures due to climate change.

Figure 3:
Adaptation technologies on a temporal scale – examples from GIZ's different working areas

In the context of implementing measures that reduce vulnerability and enhance resilience, it is also important to recognise the limits of adaptation and therefore the reality of climate-related loss and damage. In order to prevent loss and damage when faced with such limits, countries need to consider developing and implementing effective Comprehensive Risk Management (CRM) measures, as recognised under the UNFCCC in the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts (WIM), now anchored under the Paris Agreement.[20] Apart from adaptation (and disaster risk and resilience) measures, it is important to consider CRM approaches that address unavoidable and residual loss and damage, including direct and indirect, economic and non-economic costs of climate change and ways to cope with long-term gradual changes. These include risk reduction, risk transfer, and risk-sharing mechanisms.

3.5 Mainstreaming

Definition: Mainstreaming refers to the process of integrating climate adaptation into development planning and budgeting at all levels, including national, sectoral and subnational policy documents, budgets and programmes.

Mainstreaming in the UNFCCC NAP Technical Guidelines: Element B

"Integrating climate change adaptation into national and subnational development and sectoral planning", i.e. mainstreaming, is one of the key steps of Element B ("Preparatory Elements") of NAP Technical Guidelines. Indicative activities under this step include:

a. Identify opportunities and constraints for integrating climate change into planning.

b. Build and enhance capacity for integrating climate change into planning.

c. Facilitate the integration of climate change adaptation into existing national and subnational planning processes.

Rationale: One of the key outcomes of the NAP process as outlined by the UNFCCC is to mainstream climate adaptation in a country's development planning process. Given that climate change is a cross-cutting issue with repercussions for future development, proponents of mainstreaming as a governance approach argue that climate planning should not just be the remit of a single department or agency but co-opted by all sectors of the government and at all levels to ensure its relevance and continued support.[21]

Key components linked to SNAP: Recognising the importance of cross-sector and cross-scale integration, the SNAP tool assesses the following factors under mainstreaming:

- *the degree of integration of adaptation issues into the national development strategy;*
- *the degree of integration of adaptation issues into relevant sectoral strategies;*
- *the degree of integration of adaptation into planning processes at the subnational level.*

Experience on mainstreaming: In 2010, key development partners, namely GIZ, DFID, ADB, the World Bank and USAID, came together at the international workshop on mainstreaming adaptation to climate change, to share their experiences on integrating adaptation.[22] These insights were condensed into "Good Practices" by the Institute of Development Studies and include the following:

- *Finding the right point of entry for adaptation issues to be integrated in plans. Adaptation issues could be integrated at the national level (e.g. Five Year Plans in India), by sectors (e.g. Master Plans in Vietnam) or through local development plans (e.g. the plans of Village Development Committees in Nepal).*
- *Identifying climate risks that could impact a country's crucial economic drivers such as tourism or hydropower generation.*
- *Understanding local institutional structures and working around the politics between diverse actors involved in the planning process.*
- *Seeking the participation of the private and informal sector in adaptation planning.*

— *Framing adaptation as a response to climate stressors that impact development outcomes rather than an isolated environmental concern.*

The last point on the list links directly with GIZ's approach to adaptation in its country support programmes which is aptly named Climate Proofing for Development and can serve as an "efficient means of mainstreaming climate adaptation in national agendas and budgetary decisions".[23] GIZ recognises that integration of adaptation solutions into national strategies requires dialogue and policy buy-in at the central government level and that it is important to identify the actors who have a key role in spearheading the sector, policy, or programme to be climate proofed.

The OECD's policy guidance on integrating climate change adaptation into development cooperation suggests applying a "climate lens" to examine the relevant national or subnational strategies, policies, and plans.[24] The lens requires that programmes and plans be examined for: their vulnerability to climate impacts; whether and to what extent climate risks have been taken into consideration; whether the particular intervention could, in turn, increase vulnerability and lead to maladaptation; and finally for those policies being revised, what changes may be required to address climate risks and opportunities. The OECD also endorses "Strategic Environmental Assessment" which is a suite of analytical and participatory approaches to integrate environmental considerations in economic and social decisions, as an effective way to also mainstream climate change into development planning.

Mainstreaming is an important component of an adaptation process and can benefit from a framework approach because a number of empirical studies have highlighted challenges among countries and local governments in effecting an economy or sector-wide mainstreaming of climate adaptation in development planning and budgeting.[25] It is therefore a crucial component of the SNAP assessment.

3.6 Participation

Definition: Participation refers to the involvement of representatives from government and private entities, as well as civil society, NGOs, and local community groups in a policy planning and delivery process. It is important to involve representatives of disadvantaged groups and particularly in countries where women tend to be disproportionally affected by climate change with an emphasis on women's representatives.

Rationale: Broad commitment, participation and involvement of different governmental and non-governmental actors are essential for the success of any adaptation strategy and its implementation. While stakeholder engagement in project design can result in policy "effectiveness", "legitimacy", and "replicability", securing participation is inherently difficult. Historically, consultative efforts have resulted in "informing people and securing their support for plans rather than ceding them a genuine voice in shaping those plans".[26] Therefore, there needs to be a focused effort at involving stakeholders in generating the evidence, defining the policies, and implementing them. It is also crucial to include groups expected to be disproportionally affected by climate impacts. Accordingly, the CAF outlines the need for a "gender-sensitive, participatory and fully

Women and climate change

"In many (...) contexts, women are more vulnerable to the effects of climate change than men—primarily as they constitute the majority of the world's poor and are more dependent for their livelihood on natural resources that are threatened by climate change. Furthermore, they face social, economic and political barriers that limit their coping capacity. Women and men in rural areas in developing countries are especially vulnerable when they are highly dependent on local natural resources for their livelihood. Those charged with the responsibility to secure water, food and fuel for cooking and heating face the greatest challenges. Secondly, when coupled with unequal access to resources and to decision-making processes, limited mobility places women in rural areas in a position where they are disproportionately affected by climate change. It is thus important to identify gender-sensitive strategies to respond to the environmental and humanitarian crises caused by climate change."

52nd session of the Commission on the Status of Women: Gender perspectives on climate change, WomenWatch, UN, 2008.

transparent approach". It is crucial therefore that the gender component is recognised while eliciting participation.

Key components linked to SNAP: Noting that relevant actors both at the national and subnational level need to get involved in a policy process and that the consultations cannot preclude women and other vulnerable groups, the SNAP assesses:

- *the extent to which relevant stakeholder groups are involved in the national development of strategies and planning;*
- *the extent to which representatives of women's organisations and/or other vulnerable groups have participated in the national processes of adaptation planning;*
- *the extent to which relevant stakeholder groups have been involved in the regional and local planning process of adaptation.*

Experience on eliciting participation: The German Climate Adaptation Strategy offers a clear rationale for the need to include diverse stakeholders. The strategy document states, "In order to defuse or overcome conflicts of interests ahead of decisions, mobilise individual initiative and take note of ideas and initiatives from many quarters, there is a need for relevant actors to be involved in the process from an early stage".[27] The government calls on actors such as central associations of local authorities, representatives of interested municipalities and administrative districts, businesses, associations and scientists and employs electronic participation methods to involve experts and the general public in the planning process.

Participation in the UNFCCC NAP Technical Guidelines: Elements A-D (Cross-cutting)

Participation is a cross-cutting success factor and needs to be employed at all stages of the NAP process and across all NAP elements; whether it is laying the groundwork and addressing gaps, during the preparatory phase, while undertaking implementation strategies, or during the reporting, monitoring and review of the NAP process.

It is often a challenge to convert large swathes of information collected through a participatory process into final plan outcomes.[28] Moreover, low institutional capacity can hamper effective participation and an assessment such as SNAP might be a good way of assessing the country's capacity in undertaking an open and participatory process.

3.7 Monitoring and Evaluation (M&E)

Definition: Monitoring and Evaluation refers to monitoring climate change impacts, financial resources, and adaptation performance, as well as monitoring and evaluating adaptation results to gauge valuable information for adaptation planning and decision-making. M&E systems for adaptation can ensure effective resource allocation, improve accountability, strengthen steering adaptation plans and activities and foster learning on adaptation.

Rationale: Monitoring and Evaluating an adaptation process is seen as an important step for countries to assess their progress on adaptation planning and determine their next steps. It can also be an important consideration in tracking outcomes where international finance and support programmes are involved. The Cancun Adaptation Framework stresses the need for M&E in an adaptation policy to "address inefficiencies; reflect lessons learned; monitor and review efforts; report on effectiveness".[29] The framework also asks countries to use their national communication networks as a route for countries to share measures taken under the NAP process.

Key components linked to SNAP: the SNAP tool assesses Monitoring and Evaluation not just in terms of the existence of an in-country framework for monitoring adaptation, but also in terms of mainstreaming adaptation in existing national and sectoral M&E systems, and finally to take gender issues into consideration. The following areas are covered:

- *the extent to which M&E systems in sector programmes offer entry points to integrate adaptation to climate change;*
- *the extent to which M&E systems exist in the field of adaptation;*

— *the extent to which M&E of adaptation takes into account gender differences in order to ensure equality between men and women.*

Experience on M&E approaches: GIZ's guidebook on designing results-based monitoring of adaptation projects states that M&E can promote "inter-project knowledge management", because it is a relatively new field and can offer valuable lessons. The guidebook suggests a results framework as well as a results-based monitoring system with adaptation-specific indicators to assess progress of the project and achievement of its objectives.

Another tool-based approach incorporating M&E is the PEG (Progress, Effectiveness and Gap) M&E tool currently being designed to measure the 10 essential functions of the NAP process, which represent the necessary characteristics of an effective NAP process that is useful at the national level and leads to expected outcomes. Under each essential function, expected results/outcomes can be framed, which would lead to achieving the desired long-term impact. Additionally, the PEG tool can be used to collect information for reporting on the progress of the NAP process to the UNFCCC-led Conference of Parties (COP).

It is important to note that M&E systems can vary based on the approach used and the country-context in which it is applied. A comparative analysis of 10 different M&E systems at the city, country, transnational, and fund-level by GIZ and International Institute for Sustainable Development (IISD) reveals that there are key challenges and enabling factors in these systems.[30]

Some of the enabling factors are:

— *political will and leadership in developing, delivering, and evaluating the programme or policy;*

— *multi-stakeholder participation in the M&E process;*

— *aligning and/or integrating the evolving system into existing M&E structures so as to save resources in the long run.*

Key challenges include:

— *conceptual ambiguity about what constitutes successful adaptation;*

— *need for coordination and harmonisation across sectors, scales, and partners;*

— *resource and capacity constraints.*

The analysis also notes that to date the discourse around M&E of adaptation has focused on frameworks and indicator systems at the project and programme level. The GIZ guidebook for the development of (sub)national adaptation M&E systems is one of the few publications which describe M&E systems at a more aggregated national or regional level where "the institutional contexts, processes, and content for such systems are more complex", and associated with more strategic decision-making.[31] It provides orientation for the development of (sub) national adaptation M&E systems and takes a step-by-step approach, providing references to existing approaches and practical examples at each step. The guidebook serves as supplementary material to the UNFCCC NAP Technical Guidelines established by LEG and is aimed at policy-makers and technical advisors involved in the development of (sub)national adaptation M&E systems.

In summary, the seven success factors are a distillation of the ideas presented in the NAP Technical Guidelines as well as GIZ's global experience with adaptation support. Capacity gaps with regard to these factors need to be identified in order to best direct adaptation planning both at the national and subnational level. The next chapter examines how these success factors are incorporated in the SNAP tool and how the SNAP tool can be applied in a country context.

M&E in the UNFCCC NAP Technical Guidelines: Element D

"Reporting, Monitoring and Review" is a separate element under the NAP Technical Guidelines. It includes the following overarching steps: Monitoring the NAP process; reviewing the NAP process to assess progress, effectiveness and gaps; iteratively updating the national adaptation plans; ensuring outreach on the NAP process; and reporting on progress and effectiveness.

4 THE SNAP TOOL

4.1 Overview of the SNAP tool

The IPCC's Fifth Assessment Report notes that policy decisions require "information, knowledge, tools, and skills" underlining the importance of capacity building in addressing climate change and sustainable development.[32] Within the NAP process, which is essentially about mainstreaming adaptation into development planning and processes, there is a need to analyse and take stock of existing capacities as well as ongoing and past activities across a broad range of sectors, in order to determine where mainstreaming efforts should be focused. Capacity assessment helps countries understand where gaps lie and what next steps should be taken to fill those gaps in planning effectively for adaptation.

Several tools are available to assess current and required capacities for climate adaptation planning. One such tool is "Skills Assessment for National Adaptation Planning," developed by the United Nations Development Programme (UNDP) and the United Nations Institute for Training and Research (UNITAR). It aims to assess the skills gap that a country may have in designing a national adaptation plan, and uses a skills assessment framework that complements the NAP Technical Guidelines.[33] Another tool is the Climate Capacity Diagnosis & Development (CaDD) tool, developed by Climate Sense, which provides organisations with approaches for measuring and improving their ability to manage climate change risks and opportunities, including climate impacts and carbon management.[34]

To date, SNAP has been one of the most widely used capacity assessment and support tools within the NAP process. The core element of the SNAP tool is an assessment of a country's needs and capacities, on the basis of the seven success factors described in Chapter 3, which allows for a strategic perspective on the overall NAP process. The SNAP tool fits within Element A of the NAP Guidelines as it "lay(s) the groundwork and address(es) gaps" (see Figure 1). The tool also aligns with Element D of the guidelines pertaining to monitoring and evaluation, to gather baseline data

on a country's capacity for adaptation planning. The tool provides a snapshot of the currently available and intended planning capacities in a country. This helps to identify the country's point of departure with regard to initiating the NAP process, from which stakeholders can begin formulating a roadmap for the NAP process in their country. It also has an important reflective function in that it initiates a dialogue on the NAP process among in-country stakeholders from different sectors and can be used to regularly monitor and evaluate progress made within the NAP process. This chapter provides an overview of the SNAP tool and its usage, namely, preparing and conducting a SNAP assessment; preparing and conducting a NAP roadmap development exercise based on SNAP outputs; and using the outputs within the NAP process.

The SNAP assessment is based on inputs from a cross-section of governmental and non-governmental stakeholders relevant to the NAP process. Stakeholders are asked to assess the country's current situation as well as strategic goals based on seven NAP success factors outlined in Chapter 3. For each success factor, the SNAP tool provides three test questions to assess the country's capacity to undertake a national or subnational adaptation plan. Each question has three elements: a quantitative score for both the current capacity and the intended capacity, plus a qualitative justification for the scores given (see full questionnaire in Annex 7.1). The stakeholders' evaluation of the success factors is reflected in an Excel-based radar chart.

It is important that the quantitative and qualitative information in the SNAP assessment is documented and analysed with equal care in order to get a comprehensive picture of a country's capacities, and not merely a numeric result that is devoid of individual insights or an awareness of the local context. It is equally important that the final report provides the raw data as well as an analysis indicating the types of participants involved, so that the results are transparent and interpreted in the context in which it was carried out.

The SNAP tool can be applied in different ways. Its appropriate mode of application depends on the specific purpose of the assessment and the country's adaptation context, such as the advancement of adaptation efforts as well as the prevailing social, economic,

SNAP's link to GIZ's management model Capacity WORKS [35]

The SNAP tool is inspired by GIZ's management model Capacity WORKS (CW). CW was first developed in 2006 by the GTZ, one of GIZ's predecessor organisations. CW was conceived with the objective of understanding why certain projects generated results more effectively and sustainably than others. To answer this question, GTZ collated the lessons practitioners had learned over several projects, analysed them, and distilled key factors that entail an effective programme. Today, CW is an integral part of all GIZ's key procedures, namely, programme design, implementation, internal evaluation, and reporting.

CW is designed for all stakeholders directly involved and working together on a project. Its five success factors: 1) strategy, 2) cooperation, 3) steering structure, 4) processes and 5) learning and innovations, delineate the various facets of complex cooperation systems that enable sustainable development. The success factors are supplemented by an extensive toolbox to support practitioners working in these five areas.

The SNAP tool is built on the basis of this toolbox, in particular through the concepts of tool 17, "Needs Analysis" and tool 32 "Innovative Capacity of Cooperation Systems". Both tools are designed to assess the current situation within specific policy domains or sectors before identifying gaps and needs in the design or support of a change process. To do so, these tools use various criteria and rate them to assess a given situation. As a second step, the aggregated results are visualised through a radar chart, which presents possible gaps with respect to the intended or ideal situation. The chart is easy to use and offers a snapshot of strengths and weakness in order to interpret the findings at a glance.

and environmental conditions and management practices. It should be further based on consultations with in-country partners. Different methods of conducting a SNAP assessment include:

- *Participatory workshop: The SNAP tool is applied in a workshop setting, ideally lasting two days. Multiple stakeholders are invited, in order to capture different views and experiences with national adaptation planning. The workshop serves as an initial step to further initiate an extensive stakeholder discussion and consultation process on developing the national adaptation plan. This type of a participatory workshop has been conducted in Guyana, Thailand, Tunisia, and Uttarakhand (India).*
- *Interview mode – bilateral and/or small groups: If a large participatory workshop is not suitable in a given context, bilateral or small group interviews based on the SNAP success factors can be conducted in order to gain several independent and deeper insights on the NAP process in a confidential environment. This format allows for more flexibility and has been applied in Mauritania and Togo.*
- *Reflection mode: The SNAP tool can also be used for analysing the point of departure of an existing bilateral or multilateral adaptation programme. It is used in conjunction with other supports, to identify the most urgent issues and bottlenecks for a successful adaptation policy process. In Albania, SNAP was used in conjunction with the NAP training exercise.*
- *Combination of workshop and interviews: The first and second methods could also be combined. Following a participatory workshop, focused discussions may be held with selected stakeholders to further examine key elements identified through the workshop. It is important to note that with this approach, assessment methods that are valid, well-documented and accepted by stakeholders in question must be used to ensure stakeholder ownership of the results.*

The first mode of application, a participatory workshop, has been the most commonly used format to date. Applying the SNAP tool through a participatory method helps to identify a common point of departure based on a variety of perspectives from which stakeholders can begin formulating a roadmap for the NAP process in their own country. It also allows for knowledge exchange and cross-sectoral learning as participants bring valuable information about capacities and activities from their own sectors and focus areas which may not have been previously shared in an institutional setting.

4.2 Preparing a SNAP assessment

Before the SNAP assessment can take place, there are a number of preparatory activities to undertake, as outlined in Table 4.

4.3 Selecting SNAP stakeholders

Recognising that climate change is a cross-cutting issue that has an impact on all aspects of development, and that decision-making is undertaken not only by governments but also by other actors, SNAP encourages the involvement of a variety of stakeholders. Table 5 presents examples of stakeholder categories that might participate in a SNAP workshop. This includes representatives from private entities, different sectoral government agencies and departments, academia, civil society, NGOs and development partners. From a sectoral perspective, it is essential to invite not only stakeholders from sectors in which the impact of climate change are direct and present (e.g. water, agriculture, fisheries, etc.), but also departments that are important decision-making hotspots (e.g. planning ministry, the ministry of finance, the budgeting committee in parliament, etc.). Furthermore, participatory workshops such as SNAP are most effective if they have cross-sectional representation from a variety of key stakeholders, which results in a more accurate representation of a country's capacities and needs. SNAP can thus serve as an early step for initiating a multi-stakeholder discussion and a broad consultation process around climate planning, with the aim of mainstreaming adaptation into the national political agenda, and planning processes.

Insights into the relevance of individual stakeholders for the SNAP workshop and for kicking-off the NAP process can be gathered from a SNAP scoping mission, an actor's landscape, as well as from the

Table 4: Activities to prepare the SNAP assessment

Activity	Description
Clarify the overall national approach/ strategy for the NAP process in country	If the NAP process in the country is not yet under way, it is important to clarify the overall national approach and strategy for the NAP process and the kind of mandate needed to drive it. Guiding questions to clarify the mandate and to initiate and launch the NAP process are provided in step A.1 of the Technical Guidelines for NAP.
Gather country context information	Furthermore, it is important to gather additional information concerning the country context for NAP. Preparing and analysing an actor's landscape can help identify the relevant stakeholders in the process. Another source of analysis can be "NAP Align" that provides important insights into a country's institutional and political context (see Chapter 2 for further information on NAP Align).
Pre-test questionnaire and adjust to country contextNAP process in country	The test questions for the seven success factors should be pre-tested, and if necessary, adjusted to the country context. A preparatory scoping mission may be conducted before the workshop mission, in which the tool is pre-tested with resource persons, if possible. An appreciation of the way in which organisations and decision-making processes function in a country, together with linguistic nuances is important to ensure that the questions are correctly phrased. The scoping can also yield information on the optimal methods to carry out a SNAP assessment.
Identify lead facilitators, co-facilitators, speakers and rapporteurs (if available)	Experienced facilitators should facilitate the workshop. Besides the participatory elements of the workshop, an introductory input should be given on the NAP process and on the current status of adaptation planning in the country. Ideally, this would be presented by a representative of the country involved in the NAP process. In order to split a large number of participants into smaller working groups (ideally five to eight participants per group), co-facilitators should be appointed. Where possible, rapporteurs should be appointed to take notes of the key discussion points in the plenary and working group sessions, as well as to assist in entering the questionnaire data into the Excel tool.
Appoint interpreter and in-country co-facilitators, if necessary	If the participants are not comfortable using English during the workshop, then the workshop can be conducted in another language. This requires appointing an interpreter for simultaneous translation during the plenary sessions, and one in-country co-facilitator, who is fluent in the chosen language, per working group. In-country co-facilitators must be well-briefed before the workshop as they will, in practice, lead most of the communication during the group sessions.
Conduct a briefing session with all facilitators, co-facilitators, in-country co-facilitators, rapporteurs to ensure common understanding of the questionnaire	The facilitators should have a common understanding of each test question and how the capacity level for each question can be measured on a 0-4 scale. Therefore, it is important that all facilitators and co-facilitators have a briefing session before the workshop in order to reach a common understanding of each test question and how it can be explained. This is especially important when the workshop is conducted in a language unknown to the facilitators, as the in-country co-facilitators will play a much more important role in communication.

previously mentioned NAP Align tool.[36] The NAP Align analysis document provides information on suitable entry points for the NAP process and thus, it also indicates which organisations/institutions should be involved in the NAP process. Furthermore, a participatory brainstorming exercise in a workshop setting can be organised to identify stakeholders.

Table 5: Stakeholder categories for SNAP

Stakeholder category	Relevance for NAP	Examples
Government agencies and ministries	Identifying key actors for public adaptation planning, facilitating coordinated action, mainstreaming NAP in sector programmes and strategies.	Ministry of the Environment, Ministry of Finance, Ministry of Planning, Prime Minister's office, sector ministries, cabinet or parliamentary groups.
Specialised agencies related to climate issues/scientific experts	Bringing relevant actors who can help provide an evidence base for decision-making, generating data on climate change and its impacts, as well as interpreting this data. Their presence can serve as a basis for convincing decision makers.	National or regional organisations working on meteorology, environmental agencies, experts from universities and research institutions working on climate change/water/energy/social sciences, etc.
Civil society	Involving key actors who can provide additional bottom-up support for the NAP process.	Including NGOs, grassroots movements and national umbrella organisations that represent various groups such as local communities, farmers, and other categories of vulnerable people.
Private sector	Bringing actors who can raise awareness of the private sector's vulnerabilities and mobilise private capital to invest into green/low-carbon/climate resilient products and services.	The quality, quantity and strategic orientation of measures implemented on the ground (both policies and projects) to enhance resilience and/or reduce vulnerability to changes in climate.
Multilateral and bilateral development agencies	Involving actors who can participate as observers* and help ensure a coherent NAP process, through coordination of available methods and approaches for the NAP process (e.g. LEG Technical Guidelines), to ensure maximum impact.	UN organisation in the country, bilateral agencies, EU agencies, GCF National Implementing Entities (NIEs) etc.

* Development partners should only attend as observers and not participate in responding to questions or discussions.

4.4 Conducting a SNAP assessment

Sessions

As noted earlier, the SNAP tool is ideally applied with key stakeholders relevant to the NAP process over a 2-day workshop. Two days allows enough time to adequately analyse and interpret the assessment, to have discussions with stakeholders, and prepare a NAP roadmap. Table 6 provides an overview of the sessions that form the SNAP workshop.

Table 6: SNAP assessment sessions (2-day workshop)

Session	Description
Session 1: Introduction to the workshop and to the context in which the workshop takes place (Day 1)	This includes an overview of the NAP process and a basic explanation of the SNAP tool. This should present the current status of adaptation planning at the national level in the country.
Session 2: SNAP assessment of current and intended planning capacities (Day 1)	In this session the actual evaluation of current and intended adaptation planning capacities is conducted. Participants are divided into smaller working groups, ideally with 5-8 participants in each group, representing a range of stakeholder groups.
Session 3: Presentation and discussion of results (Day 2)	Based on the interpretation of the results, the facilitator should select 4-5 key issues to present and discuss with the participants. To present the results, the radar chart from the Excel tool can be copied into prepared PowerPoint slides.
Session 4: Deriving a NAP roadmap from the SNAP evaluation (Day 2)	In this session, participants develop a NAP roadmap based on the SNAP assessment, which is used to identify the next steps in the NAP process. See following section for further details on developing a roadmap.

SNAP results

Once the scores are inserted in the SNAP Excel tool, the tool generates a number of diagrams to visually represent the questionnaire responses (See Annex 7.2). Aggregated results will be visualised in a radar chart (Figure 4); the results for the present situation are displayed by a blue line and the results for the strategic goal by a red line.

Figure 4:
Radar chart showing SNAP assessment aggregate results

Faced with competing investment priorities and limited resources, particularly when it comes to climate adaptation actions, the sequencing and prioritising of interventions is essential for successful national adaptation planning. Additionally, certain capacities are more fundamental for the NAP process than others, such as a clear mandate for the NAP process, which is imperative for starting broad mainstreaming and for coordinating activities effectively. In this context, the radar chart serves as a discussion input for stimulating a strategic perspective on the NAP process among stakeholders, who will eventually agree upon which priorities to take forward in the short term. In order to achieve this, facilitators should prepare preliminary hypotheses giving initial explanations for the characteristics of the results. For guidance on interpreting data see adjacent box.

The radar chart should be interpreted by the facilitators, using qualitative data from the questionnaire justifications as well as knowledge of the country context, to present and discuss the following day with participants. The patterns identified form the basis for the further development of a NAP roadmap.

Guidance on interpreting SNAP assessment data

1. Look at the aggregated radar chart to get a first impression of trends and patterns in the stakeholders' views on the success factors. Contextual knowledge as well as the following guiding questions may help interpret their views:

- What are general trends and differences among the success factors (peaks and valleys)?
- Are there any surprising patterns within the data?
- Which success factor seems to be currently stronger and which seems weaker?
- Which success factor seems to be more important in the future and which seems less?
- Do the stakeholders largely agree with each other in their assessment of the success factors or are there differences in the level of agreement (standard deviation)?
- If so, are the differences in the level of agreement more/less pronounced with respect to any individual success factors?
- What might explain the trends, patterns and differences that you observe?

2. Interpret the disaggregated radar chart using contextual knowledge and the same guiding questions as above.

3. Scan and analyse the written justifications for additional explanations, evidence, or counter-evidence for observations from 1 and 2.

4. Formulate 3-5 preliminary hypotheses or messages for the following day's discussion and validation by stakeholders.

NAP roadmap development exercise

The objective of this session, conducted on Day 2, is to identify the next steps in the NAP process, based on the assessment of the seven NAP success factors. Ideally, the group will develop a NAP roadmap. However, in many countries there are several obstacles to be overcome before the actual NAP process can begin. In such cases, it is more important to identify the next steps that will assist in overcoming these obstacles. Accordingly, a SWOT analysis may be a useful exercise to conduct in small groups. It is important to note that the SWOT analysis is context-dependent and an optional step in developing a NAP roadmap.

For the roadmap development exercise, each of the success factors may be linked to the four elements of the NAP process as outlined by UNFCCC LEG (see Table 7), to provide a more structured input into a country's national adaptation planning process.

In groups, participants can consider the following questions related to next steps in the NAP process, around which they develop their roadmaps:

- **What** *is the starting point? What are main goals and milestones? What is needed to get there?*
- *By* **when** *shall goals and milestones be achieved?*

Table 7: Elements of the NAP process and links with the NAP success factor

Group	NAP Element	Overarching objectives	Linked to NAP success factor
1	Element A	Lay the groundwork and address gaps	Vision and mandate
2	Element B	Preparatory elements	Climate information
3	Element C	Implementation strategies	Mainstreaming, Implementation
4	Element D	Reporting, monitoring and review	Monitoring and Evaluation
Cross-cutting SNAP success factors: Human and Institutional capacities; Participation			

— **Who** *is driving the process? Who is responsible for milestones? Who provides (technical/scientific) assistance? Who implements it? Define clear roles and responsibilities.*

— **Who** *will make funds available (state budget, national and international climate funds, private sector)?*

These questions can be mapped on a template for various working groups to deliberate upon and jot down. Once groups have developed their roadmaps, activities should be ranked, for example, through a voting exercise.

Documentation

The workshop report is an important tool to demonstrate evidence to decision-makers on which steps should be taken within the NAP process, according to the views of invited stakeholders and experts. It is also important to document the applied methods to facilitate a valid and objective monitoring process in the future. Statements from participants should be anonymised. The report should contain at least four main elements or chapters:

1. *Summary of the NAP country context (actors, projects, political/institutional conditions).*
2. *Assessment of the present situation and strategic goals for adaptation planning capacities. This includes an analysis of both quantitative results (derived from aggregated scores and standard deviation data) and qualitative results (based on questionnaire justifications and group discussions).*
3. *The NAP roadmap development exercise based on the SNAP assessment, including objectives, activities, responsible institution, additional support needs and timelines. This should also include a discussion on the identified priority areas for action, based on stakeholders' views.*
4. *Conclusion, including observations from the assessment, overall trends and recommended next steps.*

The workshop report provides a useful basis for further discussions among NAP stakeholders within the country. It documents the SNAP process and outputs, providing a snapshot of the currently available and intended planning capacities in the country at a given point in time. The document can also function as an entry point for future adaptation polices and projects in the country and a baseline document for further such capacity assessments.

To access the SNAP tool and obtain further guidance on conducting a SNAP assessment, please contact Till Below (till.below@giz.de) or Nikola Rass (nikola.rass@giz.de) at GIZ.

5

APPLYING SNAP
Experiences and Insights

As noted earlier in the document, SNAP has been undertaken in six countries and one subnational territory thus far, namely, Albania, Grenada, Guyana, Mauritania, Thailand, Togo and the Indian state of Uttarakhand. The tool, therefore, has been applied in developing countries and emerging economies in Europe, Asia, Africa and Latin America (see Figure 5). The political and development contexts of these territories, as well as their approach to climate planning are equally diverse. For instance, in Albania and Togo the process of developing a NAP stemmed directly from UNFCCC's call for NAPs. In Thailand and Grenada, the NAP process, while tied to international developments, is also linked to the countries' overarching climate planning strategies, namely the Thailand Climate Change Master Plan and Grenada's National Climate Change Policy and Action Plan. In Guyana, the adaptation process is called the Climate Resilience Strategy and Action Plan (CRASP) and is part of its Low Carbon Development Strategy (LCDS). Finally, in the state of Uttarakhand, a state-led climate plan has been drafted as part of India's call to all its component states and union territories to develop State Action Plans on Climate Change aligned to its overarching National Action Plan on Climate Change (NAPCC).

Figure 5:
Geographical spread of the six countries and one federal state where SNAP has been applied.

This chapter focuses on five out of the seven territories, namely Albania, Grenada, Togo, Thailand and Uttarakhand. The country cases were chosen on the basis of the following factors:

- *representation of SNAP in each of the geographical regions where it has been applied;*
- *the presence of both the national and the subnational context;*
- *access to stakeholders who could be interviewed for the SNAP publication;*
- *official permission to share the SNAP country insights.*

For instance, while SNAP was employed in the development of Guyana's CRSAP, the document – as of April 2016 – is still awaiting high-level feedback and subsequent approval from the Guyanese cabinet. Country stakeholders therefore were not in a position to share details of the SNAP outcomes until the document received government approval.

The five aforementioned country and state cases are detailed in separate sub-sections in this chapter and each case highlights the following:

1. *The NAP process and the context in which SNAP was applied in that country or state;*
2. *The experience of applying the tool and key insights that emerged from the SNAP process;*
3. *Status of the adaptation plan and if the SNAP assessment has been able to contribute to that process;*
4. *Scope, if any, to apply SNAP again.*

Insights on the application of SNAP in different countries were gathered through semi-structured interviews with key stakeholders as well as documentary reviews particularly of the SNAP reports. Interviews were conducted with 12 governmental and non-governmental stakeholders to complement the information in the reports, obtain key insights, and understand how it currently fits within the NAP process.

Prior to detailing the individual territory contexts and experiences, it is worth comparing the SNAP assessments at an overarching level across these five countries as they offer some useful insights on adaptation policy planning as well as stakeholder capacities to address adaptation in the global context. Although expectations from the SNAP assessment differ across countries and states, all SNAP assessments served as a platform to bring diverse stakeholders together to kick-start a conversation about adaptation and mainstreaming. While it is an input-intensive exercise, the process also facilitated knowledge exchange and some degree of capacity building as facilitators were invited to detail the country context on adaptation planning in the respective government and the NAP process globally. Stakeholders, in turn, were encouraged to share their sector-based experiences and knowledge on adaptation in deciphering their qualitative and quantitative scores. Getting the right sample of participants – those who have adequate knowledge of their department or organisations' capacity on the issue and can take decisions on mainstreaming climate in their planning process – proved to be an uphill task, especially in a workshop format. Finally, most country or state coordinators of the adaptation process felt that SNAP could be replicated, either at the subnational level, in a specific sector context, or as a baselining tool to gauge changes in capacity on adaptation planning over time.

A comparison of the aggregate radar charts of each of these territories, offering a visual snapshot of the stocktaking process is another indicative exercise (see Figure 6). It is worth noting that scores between countries differ based on how the questions were contextualised, how they were posed, and who participated in answering them; the scores therefore are not strictly comparable. In particular, the absolute capacity levels of different success factors cannot be compared between countries. These levels refer only to stakeholder perceptions that are rated on a non-dimensional scale and that can be ideally compared over time in the same country. The following exercise is merely illustrative and tries to gauge broad trends.

Albania, South East Europe

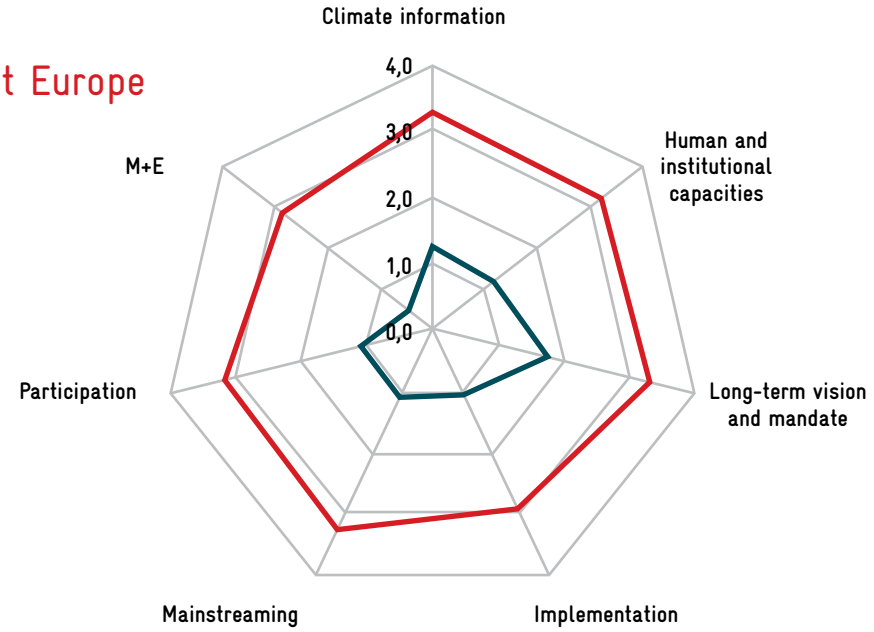
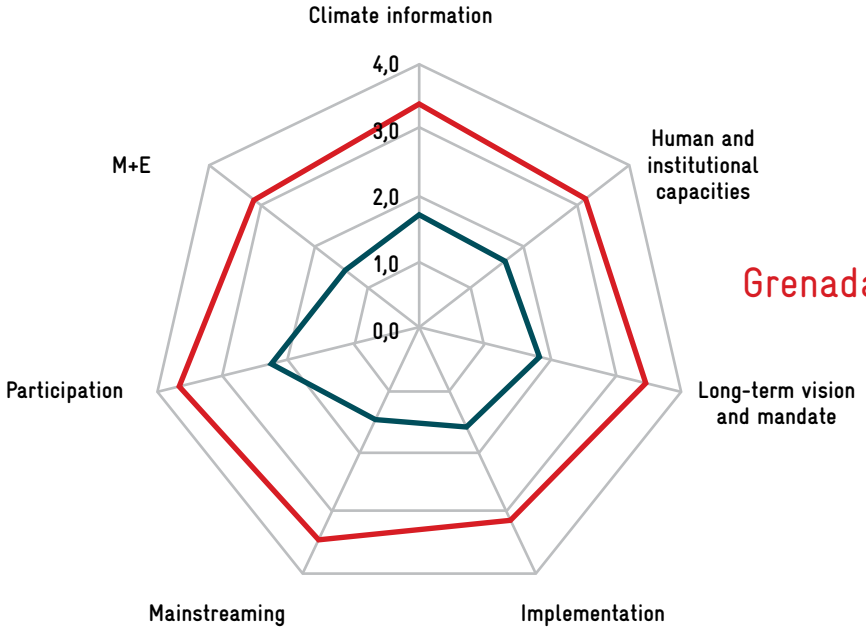
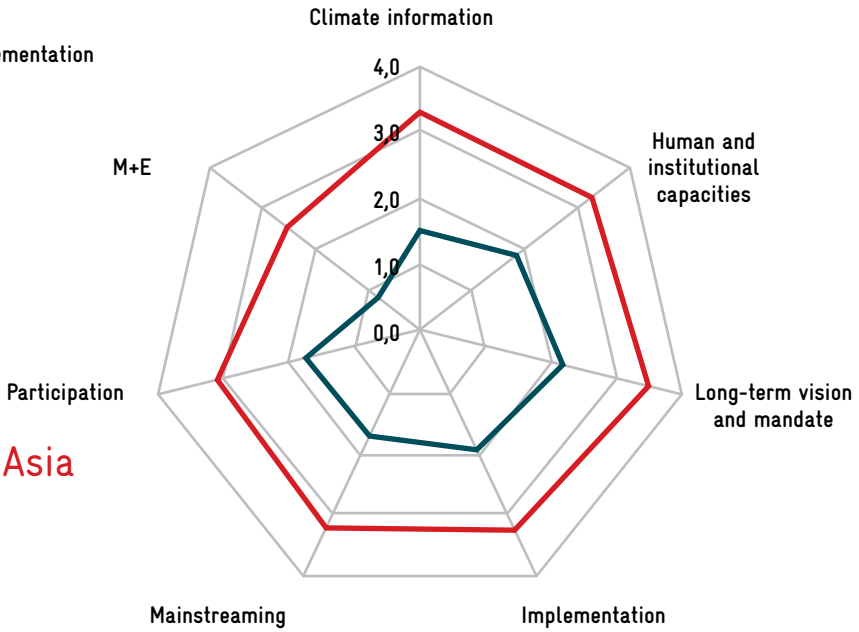


Figure 6:
Radar charts illustrating the SNAP aggregate analysis in five cases

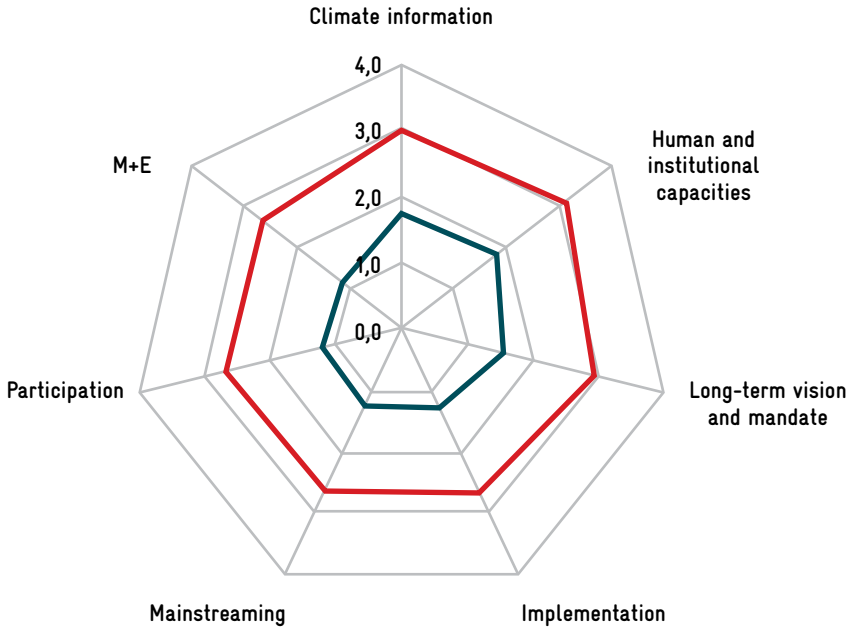
Grenada, Caribbean

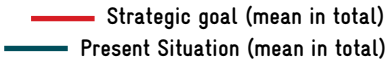


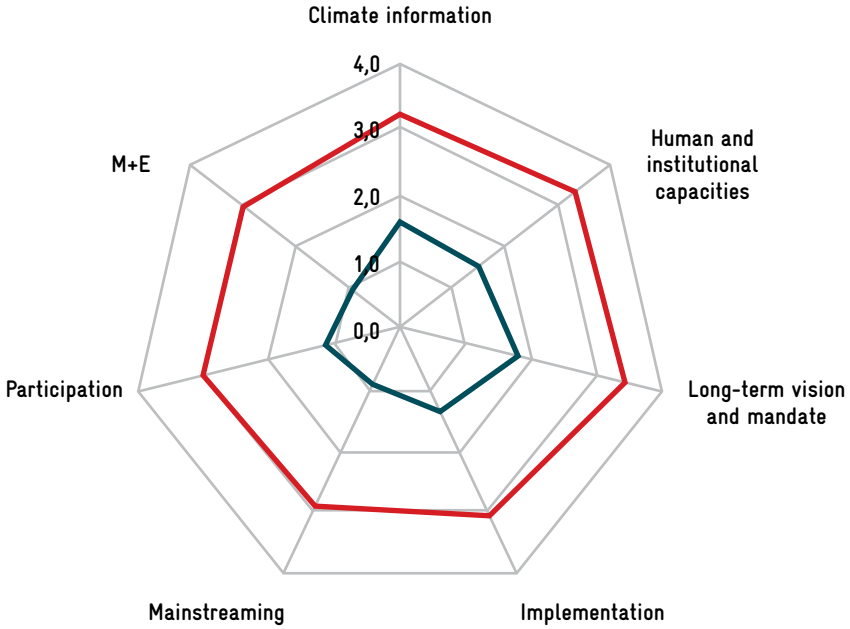
Thailand, South East Asia



Togo, West Africa







Uttarakhand, India, South Asia

In terms of aggregate scores, it is worth noting that all country and state participants, with few exceptions, seem to consider their current capacity for adaptation planning as moderate to weak. In Thailand, Albania, and Uttarakhand, long-term vision and mandate received the highest score (see Table 8). Stakeholders in these territories were confident about the presence of a policy planning process, though many were weak on specific details of that process, or the content of their respective policies.

On the other hand, the red line in the radar chart indicating the strategic goal forms a near perfect hexagon in three out of five instances, indicating the inclination of most stakeholders to prioritise action on all success factors over the next five years.

Interestingly in all cases, without exception, M&E received one of the lowest scores for the present situation. A closer analysis indicates that it wasn't always a well-understood concept in the area of adaptation. This insight is reflective of a larger trend in climate policy planning where there has been a rapid expansion in climate plans and policies but implementation, and crucially, mainstreaming and M&E still lag behind.

Climate information, as noted earlier, is the factor that truly distinguishes a climate plan from any other programme or strategy. There seems to be a dichotomy within some of the countries about the quantity and quality of climate information and its adequacy. There is a sense that information exists, but it is either scattered, unavailable, or not accessible to policymakers and practitioners. There appears to be an almost universal call to strengthen the collection, analysis, dissemination, and aggregation of climate based information: whether it is model-based climate projections, vulnerability analysis, or perception studies to build a strong evidence base on which policy outcomes are based.

Finally, addressing mainstreaming, by building ownership in the plan process is a significant challenge for all country coordinators. As one stakeholder in Thailand noted, *"based on our experience of other work, it is complicated to mainstream climate into planning and budgets. We first need commitment from everyone, we cannot do that in isolation. All partners need to get involved and we need to find how we can facilitate that"*. The benefit of SNAP is that it initiates the process of such an enquiry.

Table 8: Highest and lowest aggregate scores for the present situation

Cases	Highest aggregate score	Lowest aggregate score
Albania	Long-term vision and mandate	M&E
Grenada	Participation	M&E, mainstreaming
Thailand	Long-term vision and mandate	M&E
Togo	Human and institutional capacity	M&E, mainstreaming
Uttarakhand (India)	Long-term vision and mandate	M&E, mainstreaming

SNAP in ALBANIA

A boost for sector engagement

> *Initially I was not aware of the expected result of this tool and was frankly a bit sceptical. This is because I believe I know the state of information regarding climate change adaptation in my country. [Through SNAP] I became aware of the importance of climate data and how mainstreaming could be part of my agenda.*
>
> ***Laureta Dibra**, Head of Air, Climate Change and Chemical Sector, Ministry of Environment, Government of Albania*

The climate plan process in Albania

Albania has been active in the climate adaptation process through its involvement in sector-based projects supported by multilateral agencies as well as three successive National Communication (NATCOM) reports to the UNFCCC. In 2014, the Council of Ministers established an Inter-Ministerial Working Group (IMWG) on Climate Change chaired by the Ministry of the Environment (MoE). The group's objective has been to improve cooperation among all relevant stakeholders on climate change. Albania's NAP process is depicted in Figure 7. The NAP has been mandated by the Prime Minister of Albania, within the structure of the IMWG and is supported by GIZ, the UNDP and the EU. Albania is the only country thus far in the Balkan region that has opted for a NAP and is being supported by GIZ, under its overarching regional project "Climate Change Adaptation in the Western Balkans" undertaken by GIZ on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ).

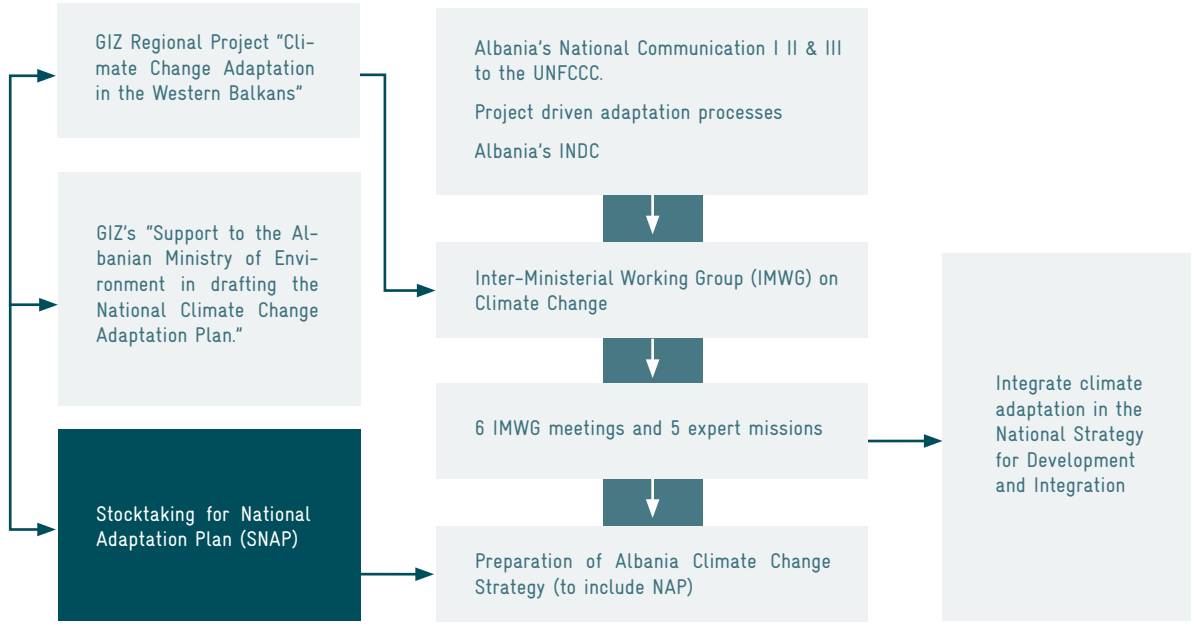


Figure 7:
Locating SNAP in Albania's NAP process

The context for SNAP

SNAP was undertaken by GIZ as part of the aforementioned project on adaptation in the Western Balkans. The mission report *Support to the Albanian Ministry of Environment in drafting the National Climate Change Adaptation Plan* states that various ongoing adaptation processes in the country had resulted in studies, reports and strategy elements. It was therefore important that the NAP process is built on these existing structures. A stocktaking exercise was deemed necessary as the first step to examine these existing processes and address gaps in developing the NAP.

The process also needed a greater degree of government involvement. As Merita Meksi, Regional Coordinator Albania at GIZ comments, "In our country, strategies and action plans are mainly prepared by consultancies within a short time of 6-10 months, and participation is ensured by one or two round table discussions. This lack of involvement of specialist ministries leads to lack of ownership of the document, making it less implementable. The preparation of the Climate Change strategy in the country is such a case. Participatory and stocktaking elements were missing in this process". It was felt that applying SNAP in a workshop context would bridge that gap.

Albania SNAP format:

FORMAT
1-day Workshop with the IMWG: half dedicated to training; half for the SNAP assessment
DATE
19 February 2015
PARTICIPANTS
Participants from ministries and external organisations
COORDINATED BY
Ministry of Environment, Government of Albania; GIZ Albania

Key insights from SNAP in Albania

Overall Experience

"The success factors themselves were an insight for me. Two factors, in particular, caught my attention, which are not frequently seen in other processes, namely, climate information and mainstreaming. In less than 30 minutes I heard different views, and perspectives about the climate change information in my country. But at the same time I understood how complex it is, and where actors' involvement and cooperation is a must.

Bledi Dimo,
National Territorial Planning Agency,
Government of Albania

Lessons learned

> *I would have preferred to separate the SNAP and the training exercises – conduct the training first and then some days later, apply the SNAP tool.*
>
> ***Merita Meksi,***
> *Regional Coordinator,*
> *GIZ Albania*

The SNAP assessment resulted in a number of observations such as the availability yet inaccessibility of climate information, and the NAP document as a means to access international climate funding. Two specific insights, however, are of particular note according to the SNAP coordinators:

The importance of mainstreaming: One of the outcomes of the SNAP workshop was to initiate a conversation about the need to integrate climate resilience in all sectoral budgeting and planning, and that the MoE needed to play an important role in coordinating the same. As Merita Meksi recounts, SNAP "opened the eyes of the government staff. Some elements of the tool were not considered part of adaptation, such as mainstreaming. It did not immediately come to mind for the inter-ministerial working group members". Laureta Dibra adds that the SWOT analysis as part of the SNAP assessment provided much food for thought and led to the idea of "mainstreaming concepts of climate change adaptation into at least two other sectors or strategies in addition to the provision of the (adaptation) plan itself as a document, which would be presented and approved by the Council of Ministers".

Awareness of a climate strategy: SNAP in Albania helped highlight the difference in scores between the MoE and other ministry participants on the presence of an adaptation strategy for Albania. It became apparent that the government's efforts in this regard needed to be better communicated to stakeholders in other sectors. The Mission document makes a note of this insight, stating "Limited awareness for climate change at the level of policy making and public recognition hamper a strong NAP process".

The road ahead

An umbrella document on Albania's climate change strategy is currently being prepared. Laureta Dibra states that the MoE hopes to use this opportunity to come up "with a good joint document where NAP covers the adaptation part". The content which focuses on priority actions has been jointly drafted with the approval of IWG members and is awaiting finalisation. GIZ along with UNDP have been bilaterally working with each ministry to develop priority actions in different sectoral chapters. In terms of a link to the SNAP assessment, mainstreaming is a key part of the document and also the process. The MoE has been focusing on mainstreaming climate change in the Albania's National Strategy for Development and Integration. As Merita Meksi elaborates, "Last year the country was reviewing the strategy, so we had the opportunity to add a climate lens in that".

SNAP again?

> *It will be very interesting to use the same tool after two to four years and see the diagram fluctuation. This might also be a good reflection tool of what has been done in the country so far (on climate adaptation) and if there is any progress.*
>
> ***Laureta Dibra,*** *Head of Air, Climate Change and Chemical Sector, Ministry of Environment, Government of Albania*

5

SNAP in GRENADA

Kick-starting a cross sectoral dialogue

"The SNAP tool provided an excellent opportunity for potential stakeholders to understand the current framework of climate change in the country while being able to identify the gaps, challenges and needs for future planning.

Martina Duncan,
Technical Officer, Climate Change, Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment, Government of Grenada

The NAP process in Grenada

Grenada has a history of engaging in adaptation action through the development of various vulnerability assessments, adaptation-relevant policies, plans and strategies, as well as donor-funded projects and programmes. In May 2015, the Grenadian cabinet approved a NAP process for the country with the objective that it serves as an umbrella document, providing added value to these existing efforts. Significantly, the NAP process seeks to build upon Grenada's National Climate Change Policy and Action Plan 2007-2011 (NCCPA) that was drafted over a decade ago. The

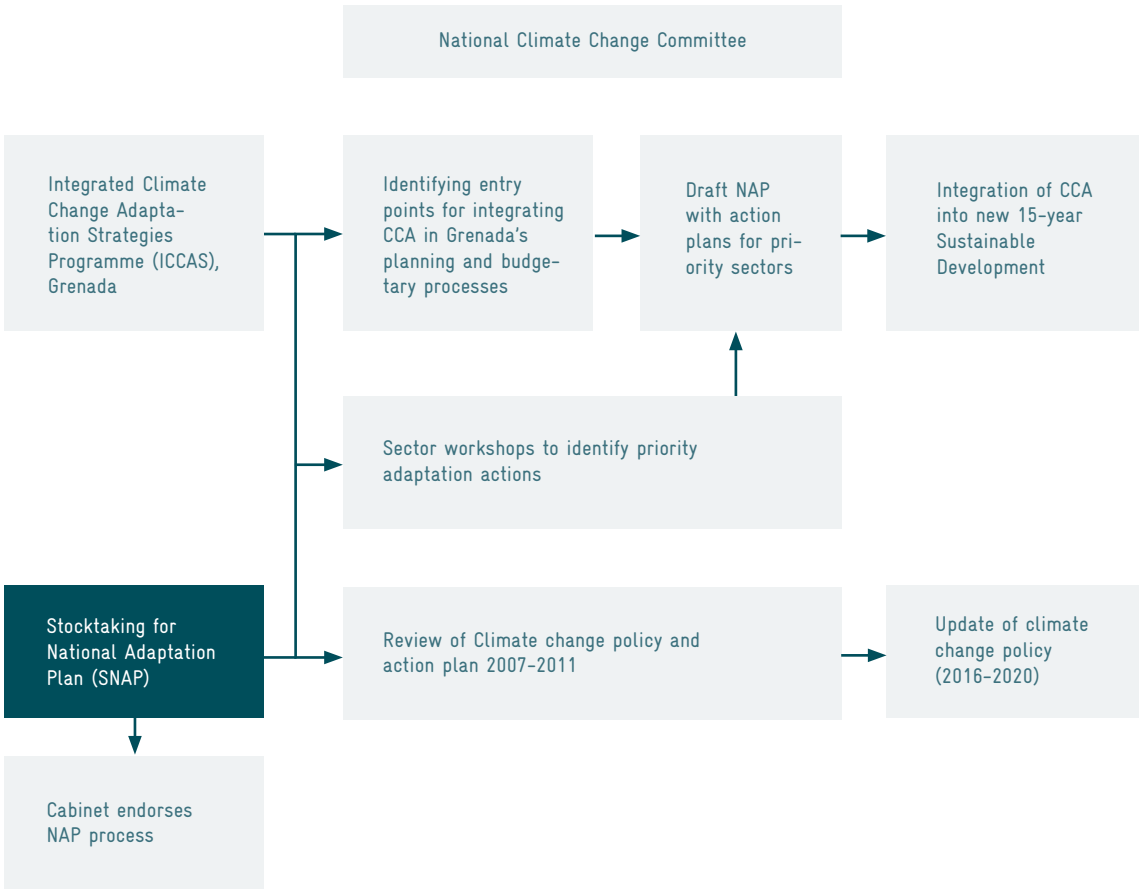


Figure 8:
Locating SNAP in Grenada's NAP process

document, which includes elements of mitigation and adaptation, is in the process of being updated. As part of the effort leading to the NAP process, the National Climate Change Committee was revived in 2014 and includes a dedicated adaptation sub-committee. Grenada's NAP process is depicted in Figure 8. The NAP has been undertaken by the Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment (MALFFE). The process is supported by GIZ under the "Integrated Climate Change Adaptation Strategies" (ICCAS) programme jointly implemented by MALFFE, GIZ, and UNDP on behalf of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) as part of its International Climate Initiative (IKI). According to Martina Duncan, the two focus areas of NAP will be "the systematic integration of adaptation considerations into Grenada's planning processes and the identification of adaptation priorities".

The context for SNAP

SNAP was applied in Grenada as part of the kick-off phase of the NAP process under the aforementioned ICCAS programme. NAP is aimed at building on existing strategies and plans, not least of which is the NCCPA. SNAP, therefore, was a "logical tool" according to Eva Wuttge, in GIZ's array of approaches to assess stakeholder perceptions on the country's capacity for adaptation planning.

Grenada SNAP format:

FORMAT	2-day Workshop including SNAP assessment and review of the CCPA
DATE	19-20 February 2015
PARTICIPANTS	Participants from ministries and civil society organisations
COORDINATED BY	Ministry of Agriculture, Lands, Forestry, Fisheries and Environment, Government of Grenada; GIZ Grenada

Key insights from SNAP in Grenada

Overall Experience

"If one wants to use SNAP to get everyone on the same page – to kick-start a process, then SNAP is a useful tool to use with a cross-section of stakeholders. If one wants an accurate reflection of the current status of adaptation and have a discussion about how to improve it, then, it is important to choose a target group where participants are familiar with climate issues so they can answer more accurately.

Eva Wuttge,
Technical Advisor, GIZ Grenada

Lessons learned

> *Some questions [were] too technical for non-climate people. Questions can be phrased differently and examples can be given. The guidance could include a more detailed text on how to tailor or adjust the tool to the local context, and at which stages.*

Eva Wuttge,
Technical Advisor, GIZ Grenada

One of the key insights that emerged from the SNAP exercise in Grenada was that many of the stakeholders not directly involved in climate initiatives were unaware of the institutional mechanisms in place for climate adaptation in the country, in particular the NCCPA. This despite the fact that the NCCPA process was, according to the ICCAS workshop report, "developed after a thorough process of consultations and results from technical assessments on climate change". SNAP, at a broader level therefore, served as a platform to inform participants on adaptation activities in the country and initiate a conversation on updating the NCCAP. As the workshop report notes, "Participants agreed that a new overarching framework for climate change action in Grenada is urgently required, which would inform the NAP process and vice versa".

Some of the specific lessons learned provided by the workshop also include the following:

- *NAP follow-up activities need to include detailed analyses and involvement at the level of the most vulnerable sectors.*
- *When moving forward with key tasks of the NAP process it will be critical to prioritise and to take into account the sequence of activities.*
- *Coordination within government and between government and development agencies should receive special attention.*

The road ahead

The NAP document is currently being prepared with a target date of October 2016. As part of that process, the government along with GIZ and other development partners are organising sectoral workshops to identify adaptation priorities for different sectors, which would be included in the NAP as multi-sectoral programmes of actions. In addition, the target is to integrate adaptation in the government's upcoming 15-year development plan, Vision 2030.

SNAP again?

> *SNAP could be a good monitoring tool… In a multi-sectoral setting, the idea of evaluating mainstreaming is if stakeholders can speak to how well climate change is integrated into sector plans. The ultimate test is to see if the answers by sector experts are actually improving over time.*

Eva Wuttge,
Technical Advisor, GIZ Grenada

SNAP in THAILAND

Identifying future partners for the NAP process

> *SNAP served as a stocktaking exercise and also as a first dive into to the topic, to identify people we could be working with in the future.*
>
> ***Christoph Mairesse,***
> *Director Climate Policy Implementation, GIZ Thailand*

The climate plan process in Thailand

The process of developing a NAP for Thailand began in 2015 as an outcome of the Climate Change Master Plan (CCMP) that was approved by Thailand's cabinet the same year. The work is being led by the Climate Change Coordination and Management Division (CCMC) under the Office of Natural Resources and Environmental Policy and Planning (ONEP) as the responsible authority on climate change in the country. GIZ is one of the partners supporting ONEP in this endeavour, notably through the "Risk-based National Adaptation Plan" undertaken by GIZ on behalf of BMUB and closely aligned to Thailand's NAP goals. Thailand's NAP context is depicted in Figure 9. GIZ and ONEP jointly conducted SNAP as part of this project. In the first phase of the NAP process, ONEP prepared a country-wide National Vulnerability Assessment study (VA) and is currently undertaking a gap analysis for the VA along with GIZ in consultation with key governmental and non-governmental stakeholders. As the next step, ONEP aims to prepare the first draft of the NAP document for Thailand.

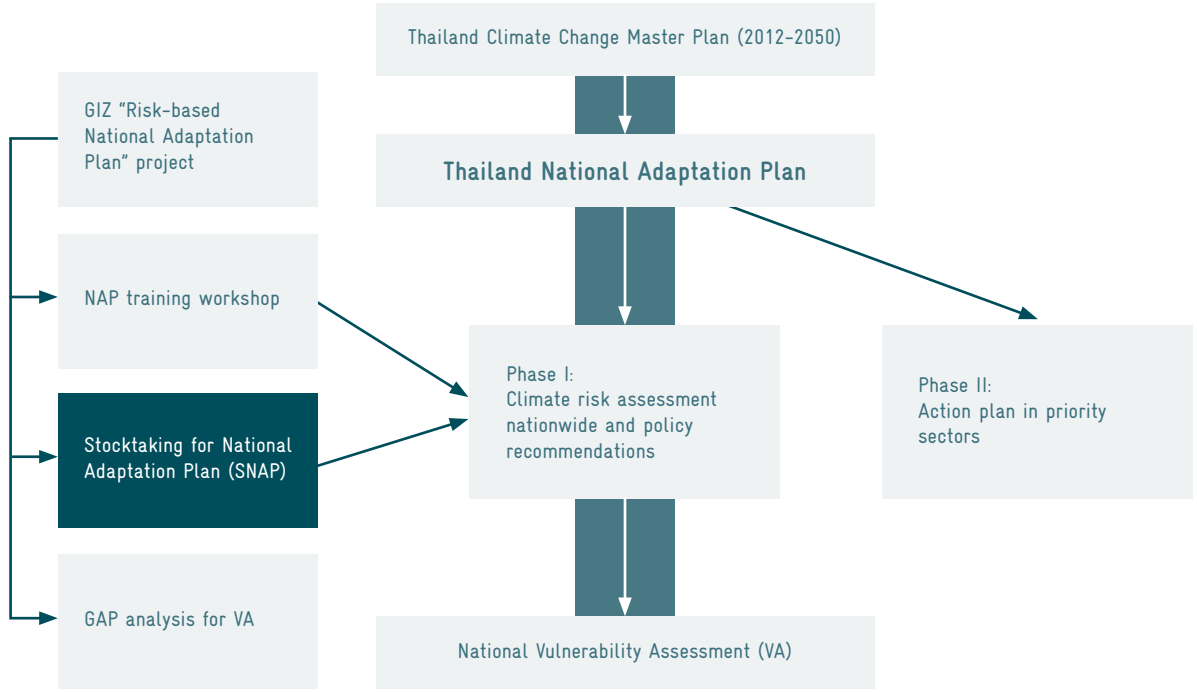


Figure 9:
Locating SNAP in the Thailand NAP process

The context for SNAP

One of the biggest challenges in developing a climate policy is to facilitate a cross stakeholder dialogue involving all relevant sectors impacted by climate change and initiating a process where climate adaptation can be mainstreamed in development planning. In the case of Thailand, GIZ was asked by ONEP to foster "inter-administrative cooperation" on the NAP process as the topic was not yet on the national agenda. SNAP was therefore used as a stocktaking exercise to understand the degree of information, interest, and appetite for NAP among other government stakeholders, as well as their present involvement in other adaptation actions. It was one of GIZ's initial efforts aimed at aligning its project with the government's goals on NAP. As Christoph Mairesse notes, "we wanted to first align our project with our partners' (ONEP) needs in developing the NAP. It was then a question of what we could provide based on the support tools that GIZ has developed globally. We wanted to see what we would offer, at what time, and what stages. We started with a training workshop and followed it with SNAP".

Thailand SNAP format:

FORMAT
2-day Workshop exclusively focussed on the SNAP assessment
DATE
23-24 November 2015
PARTICIPANTS
31 participants, representing 8 ministries, 21 departments and one NGO.
COORDINATED BY
ONEP and GIZ Thailand

Key insights from SNAP in Thailand

Overall Experience

> *We haven't had this kind of session or process in any assessment before. It was a good way to initiate a process of collaboration among stakeholders. It helped understand the strengths and weaknesses in stakeholders' capacity to take on adaptation.*

Kollawat Sakhakara,
Environmentalist, Professional Level, ONEP, Government of Thailand

Lessons learned

> *The tool presupposes that participants know what the topics and success factors are about. A good proportion of the people felt "this is all new to me and I have never been involved with this topic before". We should therefore focus on providing stakeholders with the information and support they need in order to move ahead.*

Christoph Mairesse, *Director, Climate Policy Implementation, GIZ Thailand*

The principal outcome on the SNAP process in Thailand was that it aided ONEP and GIZ Thailand in reaching out to other governmental stakeholders, gauging their knowledge on climate adaptation, and their interest in mainstreaming climate resilience in their scope of work.

The SNAP exercise, according to GIZ Thailand, clarified two aspects of its work: First, the need to invest more time in building an "inter-ministerial co-operative network". Second, to build a stronger understanding among stakeholders about ONEP's role in that network, and to support ONEP in that role.

In ONEP's view, SNAP principally gave the team an understanding of the government's sector-based capacity and interest in climate change. According to Dr Sakhakara, "We now have a clearer understanding of the situation with each stakeholder, in future we can be suitably prepared in dealing with those stakeholders".

The road ahead

ONEP and GIZ Thailand are currently involved in conducting a gap analysis for the VA as part of GIZ's Risk NAP project and have not yet had the chance to include SNAP insights into the NAP process. As a next step, the team plans to examine all documents including SNAP, in the development of the NAP. Two key insights from the report – to foster non-governmental participation in the NAP process, and collect and disseminate all climate information – have already been co-opted in the gap-analysis of the VA.

Furthermore, ONEP hopes to use insights from SNAP to strengthen existing sectoral initiatives and also to identify "champions" in the ministries who would focus on adaptation. According to Kollawat Sakhakara, the strategy would be to divide the six sector-based focus areas into three levels, "based on their interest and existing capacity on adaptation".

SNAP again?

"When we first applied SNAP, we reached out to stakeholders who were new to the topic. Once everyone has been involved in the process for a year, we should do it again. When there is a different level of awareness, and data availability, and we have a cooperative network structure in place, then we should re-examine where we are.

Christoph Mairesse,
Director, Climate Policy Implementation, GIZ Thailand

5

SNAP in TOGO

Catalysing a multi-stakeholder committee to oversee the NAP process

> *"SNAP essentially worked as a diagnostic analysis to help triangulate adaptation and development planning goals and build a bridge between climate adaptation and development planning.*
>
> ***Ablonko Koffi Bruce,***
> *National Technical Advisor, GIZ Togo**

The climate plan process in Togo

Several policies and programmes have been initiated in Togo over the last decade to address climate change under the Ministry of Environment and Forest Resources** (MERF) which is the nodal agency on climate change in the country. Under MERF's supervision, two institutional structures; a Climate Change Division and a National Commission on Climate Change, were created in 2005. Recognising the immediate threat of climate risks, Togo prepared priority actions under the NAPA in 2009, focusing on the agriculture, water resources, coasts, housing, and health sectors. To complement these efforts and address medium- and long-term needs, Togo is currently engaged in the NAP process. Togo's Strategy for Boosting Growth and Promoting Employment (SCAPE) 2013–2017 also included a focus on climate adaptation. Togo's NP process is depicted in Figure 10. The "National planning for adaptation to climate change in Togo" is a project undertaken by GIZ on behalf of BMZ. The focus of this project is to support the Government of Togo in improving the conditions for an effective NAP process through capacity building, knowledge brokerage, and the development of a roadmap for the NAP process.

* In Togo, the SNAP assessment as well as the interviews for this publication were conducted in French; the quotes have therefore been translated into English.

** Ministère de l'Environnement et des Ressources Forestières

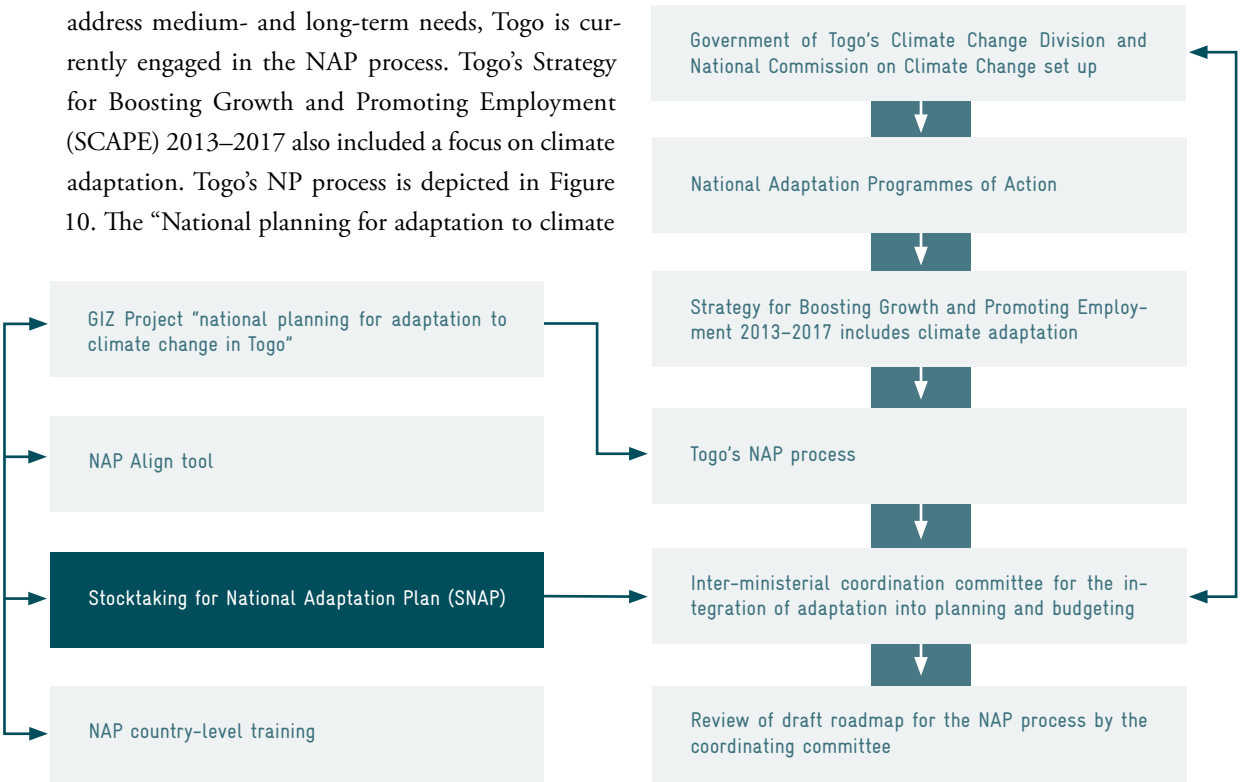


Figure 10: Locating SNAP in Togo's NAP process

The context for SNAP

As part of Phase 1 of the project in Togo, GIZ applied the NAP Align tool to examine the government's institutions and processes to better integrate adaptation in development planning and budgeting. As the next step, the SNAP assessment was carried out in 2014, to assess existing adaptation planning capacities and identify strategic goals in the development of the NAP. One of the objectives of SNAP was to develop a draft roadmap that would feed into the NAP process.

Togo SNAP format:

FORMAT
2-day Workshop on the SNAP assessment
DATE
April 2014
PARTICIPANTS
30 stakeholders from key line ministries and civil society organisations
COORDINATED BY
Ministry of Environment and Forest Resources, Government of Togo and GIZ

Key insights from SNAP in Togo

Overall Experience

> *SNAP was useful because it allowed us to solidify collaboration between the different stakeholders and permitted us to make a shared assessment (of our weaknesses). Based on this, each actor automatically felt he had a role to play. Additionally, SNAP allowed us to identify capacity building needs for good assessment of vulnerabilities, and identification of suitable adaptation options to ensure resilient development of Togo.*
>
> ***Bamali Piya-Abalo Tahontan,***
> *NAP Focal Point, Ministry of Environment and Forest Resources, Government of Togo*

Two key insights emerged from the SNAP assessment in Togo: First, SNAP kick-started an important cross-sectoral conversation that had not taken place before. Second, the SNAP assessment reaffirmed the need for a multi-stakeholder committee to coordinate the NAP process.

The start of an exchange between sectoral ministries on adaptation: Prior to SNAP, climate change was considered the sole domain of the Ministry of Environment and Forest Resources, which, according to the SNAP report "constrained the implementation of adaptation measures since the MERF didn't have the capacity to mobilise other ministries". Bamali Piya-Abalo Tahontan notes that, "SNAP principally played an educational and enlightening role and reinforced the process. Stakeholders realised the importance of working together".

The establishment of a national committee on NAP: There was a consensus among stakeholders that a multi-stakeholder process needed to be formally mobilised so that NAP-related information could be suitably disseminated. Hence there was a call to establish "an effective and dynamic" national committee on NAP. According to Bamali Piya-Abalo Tahontan, "The establishment of this committee also addresses the need for monitoring the effective integration of adaptation into sectoral policies and the sustainability of the process".

The road ahead

The NAP document is currently being prepared with a target date of October 2016. The SNAP results provided the basis for the first draft of the NAP roadmap, which has since been updated. Crucially, an inter-sectoral committee on the NAP process has since been established as an "inter-ministerial coordination committee for the integration of adaptation into planning and budgeting".* According to Ahlonko Koffi Bruce, "The technical coordination committee is made up of three different ministries, two CSO observer members, one UNFCCC focal point, and one NAP focal point. In short, there is a lot of political will behind this set up".

SNAP again?

> *It would be good to do the exercise again. The data has changed now. Expectations have changed. Doing another stock taking would show the extent of progress*
>
> ***Ahlonko Koffi Bruce,***
> *National Technical Advisor, GIZ Togo*

* Comité technique de coordination du processus d'intégration de l'adaptation au changement climatique dans la planification et la budgétisation.

SSNAP in UTTARAKHAND (INDIA)

Providing meaningful next steps for the climate plan process

> *We had a challenge in getting all stakeholders on the same page in the project. We wanted to bring together a group who may, or may not be used to working together. SSNAP helped to bring diverse stakeholders together and initiate a process of self-reflection to help design meaningful next steps in the policy process.*
>
> ***Emma Doherty,*** *Climate and Development Knowledge Network*

The climate plan process in Uttarakhand

In 2009, the Government of India asked all its Federal states to develop State Action Plans on Climate Change to align with the country's overarching climate policy, the National Action Plan on Climate Change (NAPCC). The state of Uttarakhand drafted the Uttarakhand Action Plan on Climate Change (UAPCC) in 2012, which was approved in 2015 by Central Government. The UAPCC is predominantly adaptation-focused and its preparation was coordinated by the Forest Department, as the designated nodal agency on climate change in the state. The Climate and Development Knowledge Network (CDKN) has been supporting the implementation of the UAPCC since 2013 by means of a Vulnerability and Risk Assessment (VRA) and a programme of engagement that involves working with decision-makers and organisations who are delivering climate compatible action in the state. The project is funded by the United Kingdom's Department for International Development (DfID). Uttarakhand is the only instance where the SNAP tool has been applied in the subnational context thus far. The process was re-named SSNAP or Stocktaking for Sub-National Adaptation Planning, to better fit the local context.

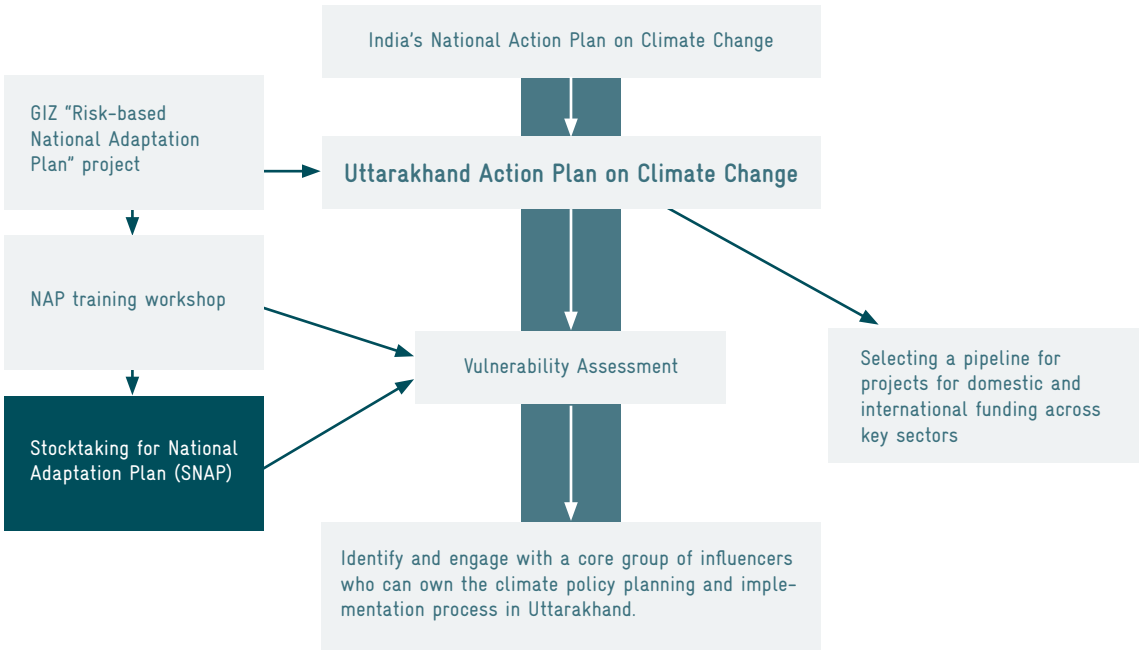


Figure 11:
Locating SSNAP in the Uttarakhand UAPCC process

The context for SSNAP

In order to create an evidence base to prioritise actions in the UAPCC, the CDKN project is focused on delivering a VRA. However, in order to assess the extent to which the VRA could be made relevant to decision-makers and mainstreamed in state development planning, it was first necessary to understand stakeholder capacity to comprehend and implement climate compatible development. As CDKN's Country Programme Manager in India, Aditi Paul notes, "We are in the process of building evidence and communicating climate vulnerability in the state, but first stakeholder capacity needs to be strengthened, which will ensure the findings are truly owned by the individuals and institutions who need to act on it". SSNAP was therefore conducted in 2015 to assess the extent to which key governmental and non-governmental stakeholders were aware of climate planning and the UAPCC in particular.* In preparing for the workshop, the SNAP questionnaire was first contextualised to the subnational context. CDKN and the nodal agency agreed that SSNAP would help, "get people in one room, examine what is missing, understand what people are asking for, and where you need to go with regard to the Uttarakhand climate plan".

Uttarakhand SSNAP format:

FORMAT
2-day Workshop on the SNAP assessment
DATE
April 2014
PARTICIPANTS
30 stakeholders from key line ministries and civil society organisaions
COORDINATED BY
Ministry of Environment and Forest Resources, Government of Togo and GIZ

Key insights from SSNAP in Uttarakhand

Overall Experience

"*The best thing we did was to customise SNAP to the subnational level. The process was quite helpful in bringing participants together, getting a glimpse of what capacity and knowledge they have, also giving stakeholders an overview of the climate plan process in the state.*

Rajiv Bhartari,
Additional Principal Chief Conservator of Forests, Forest Department, Government of Uttarakhand

* SNAP was suggested to CDKN by Acclimatise, based on the latter's application of the tool in Guyana.

Non-governmental stakeholder experience

> *The SNAP results were not new, but the format and presentation of that information – through graphs and charts – was quite enlightening.*
>
> ***Subrat Sharma,***
> *GB Pant Institute of Himalayan Environment and Development*

Lessons learned

> *To ensure better engagement and wider application of the VRA among stakeholders, I think the SSNAP process and success factors need to be simplified, using language that is free of jargon.*
>
> ***Aditi Paul,***
> *Country Programme Manager, CDKN, India*

> *SSNAP at the end of the day is an assessment tool; it needs to be translated into targets, roles, and responsibilities to get the machine in motion.*
>
> ***Rajiv Bhartari,***
> *Additional Principal Chief Conservator of Forests, Forest Department, Government of Uttarakhand*

The following key insights emerged from the SSNAP process:

1. *While stakeholders were largely aware of the presence of a climate plan for Uttarakhand, few were familiar with its contents or knew about current efforts to take it forward. A key insight therefore is that the* **climate plan needs to be better communicated**. *Communicating the plan is arguably as important as mainstreaming and implementing it.*

2. *The SSNAP assessment – in terms of capacities across success factors – reiterated what has been observed in other State Action Plans on Climate Change in India: While individual states have* **developed a climate plan with varying degrees of climate information, and institutional capacity, they are struggling with implementation, mainstreaming, and monitoring and evaluation.** *As Rajiv Bhartari notes, "for the first three success factors information was available, for the remaining four, much more needs to be done".*

The road ahead

At the end of the SSNAP workshop, participants voted and came up with four priority areas for action:

- *Establish a body to oversee climate change issues in the state – the State Climate Change Centre.*
- *Create a platform for knowledge and data sharing.*

- *Conduct climate risk screening of existing and planned development projects/programmes.*
- *Build capacity by integrating climate change into existing administrative training programmes for bureaucrats.*

The idea of a state climate centre was originally initiated by the central government for all states and the SSNAP exercise reaffirmed its importance in Uttarakhand. Following the SSNAP assessment, CDKN has worked closely with the nodal agency as well as the central government to shape the final proposal for establishing the Uttarakhand Climate Change Centre. The SSNAP assessment has also helped CDKN adjust its project focus in the state. Emma Doherty notes, "SNAP helped guide where we need to reorient our project: Focus on knowledge and awareness, rather than policy change". Going forward, CDKN intends to share the results of its work – the VRA, stakeholder engagement efforts, and the SSNAP assessment – with other donors working on climate projects in the state.

The experience of applying SNAP in different countries has resulted in some common themes on adaptation planning: The need for better communicating the climate process in the country; creating or improving cross-sectoral institutional structures to coordinate the process; organising similar platforms to bring diverse stakeholders together to enable a shared understanding of adaptation action; building a robust climate evidence base; and crucially, strengthening efforts at mainstreaming.

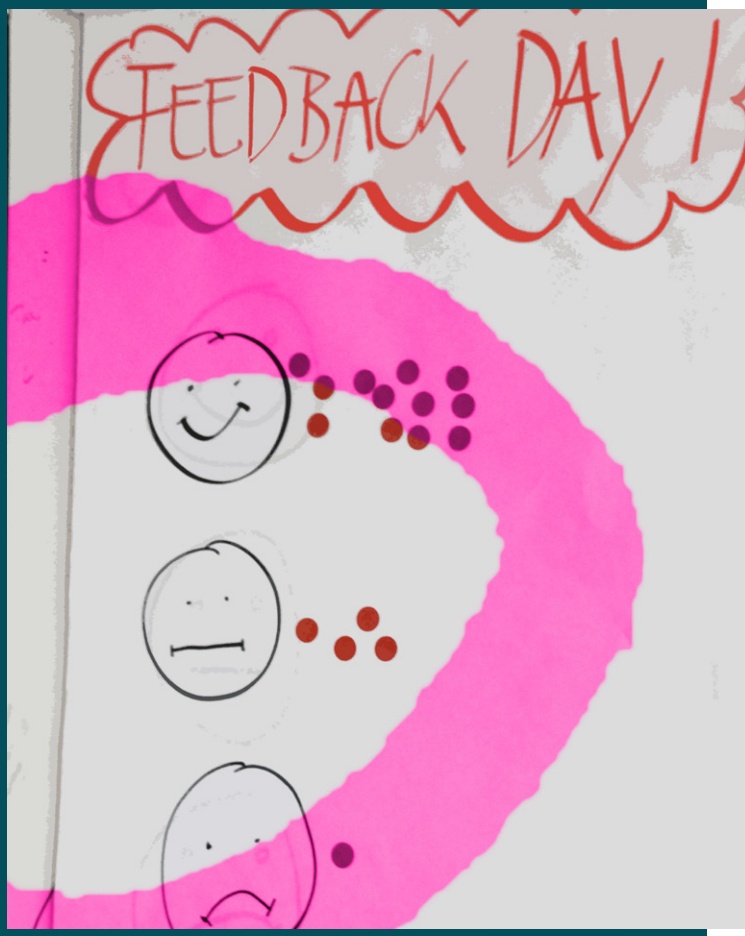
SNAP again?

"*There is potential to reapply SNAP. It is a useful tool for cementing buy-in, and fostering inter-ministerial cooperation. We engage in demand driven and government-led projects. There are lots of ways to do the engagement. This is one tool in an arsenal of engagement tools, but also a baseline tool on the softer aspects of implementing climate policies.*

Emma Doherty, *Climate and Development Knowledge Network*

6

CONCLUSION



Climate change is a complex multi-sectoral problem where the impacts are not always certain but the consequences are almost certainly expected to further exacerbate development challenges. Developing a climate adaptation strategy to address climate risk, therefore, requires a strategic effort: The collection and sharing of climate data, creating a common understanding of climate risk and potential action, devising a strategy and long-term mandate to guide the process, bringing diverse stakeholders onto the same platform, examining implementation strategies, finding ways to mainstream climate adaptation in development planning, and finally monitoring and evaluating the process are all crucial to the plan. Underpinning all these factors is the need for a clear understanding of a country's current and future capacity to undertake each of the required adaptation actions.

The SNAP tool developed by GIZ which assesses a country's current and intended capacity across seven success factors is devised to lend crucial direction to the process through a process of deliberation and consensus building among a diverse group of stakeholders.

The application of SNAP in various countries both at the national and subnational level has generated much information on the experience of using the tool, and insights to be put to use in other countries. And while the knowledge gained differs across country contexts, some common themes emerge:

Kicking-off a multi-stakeholder conversation on adaptation: A defining insight from experiences in every country was that SNAP served as a platform to bring various stakeholders together to start a conversation on the need for adaptation and to generate awareness on the how that country is already engaged in a climate strategy. **In some cases, SNAP has been the first point of contact between stakeholders across sectors.**

Making a case for mainstreaming: To departmental representatives, SNAP has also underscored the importance of mainstreaming adaptation in key sectoral activities as well as the overarching development and budgetary cycle in the country. **The idea**

that climate adaptation is not a standalone endeavour to be solely driven by the department or ministry responsible for climate action was one of the defining messages.

Highlighting the importance of analysing both quantitative and qualitative information: The analysis produced by SNAP in various countries has generated a strong belief that quantitative values are only one – arguably minor – part of the SNAP assessment. Equally important are the qualitative responses and conversations as they provide further insights into the individual scores and the all-important context that puts emphasis on local factors driving the NAP process. The qualitative data therefore needs to be documented and analysed carefully, otherwise one might run the risk of an oversimplified quasi-objective numeric result that offers an incomplete evaluation of a country's capacity for adaptation planning.

Building a roadmap: SNAP has provided a platform to many stakeholders to participate in developing or reviewing a preliminary roadmap for a country's adaptation strategy. This exercise was consensus-based and often resulted in different representatives sharing their sector-based knowledge in suggesting innovative mechanisms for adaptation planning. **SNAP therefore supports the development and review of roadmaps through a participatory and informed process.**

Encouraging flexibility: That SNAP is sufficiently flexible to be used at the subnational level is evident through its application in an Indian state. Some stakeholders also suggested its potential use in assessing capacity for specific sectors. Many country or state coordinators of the adaptation process felt that SNAP should be replicated, especially as a baselining tool to gauge changes in capacity on adaptation planning over time. **SNAP, therefore, also fits within Element D of the NAP process that pertains to monitoring and evaluation, in conjunction with existing M&E tools.**

Space for contextualisation: A significant and often recurring challenge in delivering an effective SNAP assessment is selecting participants who are aware of and can speak about their departmental capacity on adaptation as well as finding participants who are in a position to take decisions on mainstreaming climate change in their planning processes. This insight reinforces the need for robust preparation on the part of facilitators preceding the SNAP assessment as suggested in the SNAP guidance document. Such preparation can involve one-on-one meetings with key stakeholders to guide the development of the participant list, as well as to suitably alter the questions to the local context. **Some country representatives have also requested for specific guidance on the different stages at which the tool can be contextualised.**

Operationalising NDCs: Finally, SNAP can be a useful instrument to put into practice and implement the adaptation goals of NDCs. As noted earlier, adaptation plays a major role in countries' NDCs. Over 80% of INDCs have an adaptation component. In many countries, NAP is seen as the route to coordinate and implement the adaptation component of these national contributions. Finally, Stocktaking for National and Sub-National Adaptation Planning is equally important for the NDC future itirations, and given its flexibility and widespread usage, SNAP can be the very tool required to undertake this step.

While the NAP guidelines highlight the need to take stock of climate and development processes in a country and assess capacities to develop an adaptation plan, there is little guidance on operationalising this objective. SNAP is arguably the only fully-fledged stocktaking tool that has been used in actual decision making contexts as part of the process of developing NAPs. The insights gained from the SNAP assessment, therefore, can further inform stocktaking approaches within NAP and, going forward, implementation of the adaptation goals of NDCs.

ANNEX

7

7.1 Questionnaires

SNAP-Analysis of capacities and needs

Name		
Institution		
Date		

Please tick the appropriate box!

Success Factor: Climate information

1. What is the level of availability of existing climate projections (quality and quantity)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

2. What is the level of availability of existing vulnerability studies (quality and quantity)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

3. What is the level of availability of information on technical adaptation options including adaptation technology (directly and indirectly contributing to adaptation) (quality and quantity)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success Factor: Human and institutional capacities

4. What is the level of technical knowledge on adaptation to climate change of staff of sectorial ministries?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

5. What is the level of technical knowledge on adaptation to climate change by other organisations (e.g. universities, research institutes, NGOs)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

6. What is the level of effectiveness of intersectorial coordination of adaptation (e.g. national unit, UNFCCC focal point team)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success-Factor: Long-term vision and mandate

7. Is there a coherent official national plan/strategy for adaptation (e.g. SPCR, National Adaptation Strategy, NAPA)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

8. To what extent does the official adaptation plan/strategy take into account the impacts of climate change in the medium and long term?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

9. To what extent is there a sufficient and clear mandate to carry out the NAP process?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success Factor: Implementation

10. To what extent does the implementation of adaptation projects follow the priorities identified in the official adaptation plan/strategy?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

11. To what extent are the necessary financial resources available to cover the short, medium, and long-term costs for the selected adaptation priorities (domestic and external funding)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

12. To what extent have the selected adaptation priorities been budgeted for (Medium Term Expenditure Framework, National Budget, Decentralised Budgets)?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success Factor: Mainstreaming

13. What is the degree of integration of adaptation issues into the national development strategy?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

14. What is the degree of integration of adaptation issues into relevant sectoral strategies?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

15. What is the degree of integration of adaptation into planning processes at the decentralised level?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success Factor: Participation

16. To what extent are all relevant stakeholder groups involved in the national development of strategies and planning for adaptation?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

17. To what extent do representatives of women's organisations and/or other vulnerable groups participate in the national processes of adaptation planning?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

18. To what extent are the relevant stakeholder groups involved in the regional and local planning process of adaptation?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Success Factor: M & E

19. To what extent do M&E systems of sector programmes offer entry points to integrate adaptation to climate change?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

20. To what extent do M&E systems exist in the field of adaptation?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

21. To what extent does M&E of adaptation take into account gender differences in order to ensure equality between men and women?

	0 = weak	1 = rather weak	2 = neither weak nor strong	3 = rather strong	4 = strong	n.a.
Current state						
Strategic aim						

Justification:

Finally, having answered all the questions, would you like to add any general comments or suggestions?

7.2 Snapshot of the SNAP exel tool

giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Stocktaking for National Adaptation Planning (SNAP)

Contacts

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Welcome to the SNAP tool!

SNAP is a tool developed to assess the capacity of a country or sub-national unit to undertake an adaptation plan. Stakeholders are invited to answer 21 questions by assigning quantitative scores [between 0 and 4] for the present situation and intended goal. The quantitative assessment together with stakeholders' qualitative responses provide a snapshot of the country or unit's current and intended capacity on climate adaptation planning.

The SNAP tool is a means to input the quantitative scores and generate different analyses on the present situation and strategic goal for that country or unit.

The tool allows you to:
- Tailor questions and graph labels in Worksheet '**1. Tailor questions**' (if the questions have been altered to suit the local context)
- Feed quantitative scores from each participant for 21 questions in Worksheet '**2. Insert scores**'.
- Insert qualitative scores for further analysis in Worksheet '**8. Insert justifications**'.

The tool generates 2 levels of analysis using aggregated scores (for 7 success factors) and disaggregated scores (for all 21 questions):

- Using the aggregated scores the tool produces:
  1. A radar chart of the aggregated quantitative results (Worksheet '**3. View radar chart**')
- Using the disaggregated scores the tool produces:
  2. For the present situation (Worksheet '**4. Analysis present situation**') and

For a quick introduction to SNAP:

Download "The Stocktaking for National Adaptation Planning (SNAP) Tool.pdf"

For detailed guidance on conducting SNAP:

<Link to the guidance document which is being updated as part of the project>

To refer to the publication capturing other country experiences on SNAP:

Step 1. Insert scores from questionnaire(s)

	Question / label number	Tailor questions	Tailor labels for graphs
Climate information	1	What is the level of availability of existing climate projections?	Availability of existing climate projections (quality and quantity)
	2	What is the level of availability of existing vulnerability studies?	Availability of existing vulnerability studies (quality and quantity)
	3	What is the level of availability of information on technical adaptation options (directly and indirectly contributing to adaptation), including adaptation technologies.	Availability of information on technical adaptation options
Human and institutional capacities	4	What is the level of technical knowledge on adaptation to climate change of staff of sectoral ministries?	Technical knowledge level on adaptation of sectoral ministry staff
	5	What is the level of technical knowledge on adaptation to climate change by other organization (e.g. universities, research institutes, NGOs)?	Technical knowledge on adaptation of other organizations (NGOs, etc)
	6	What is the level of effectiveness of intersectoral coordination of adaptation? (e.g. national unit, UNFCCC focal point team)?	Effectiveness of intersectoral coordination concerning adaptation
nd	7	Is there a coherent official national plan/ strategy for adaptation? (e.g. Climate Strategy, National Adaptation Strategy, NAPA)	Existence of coherent official national plan/ strategy for adaptation

Step 2. Insert scores from questionnaire(s)

- Assign a number to each participant questionnaire-sheet (i.e. 1, 2, 3,...,50)
- In this Worksheet, please insert the scores for each participant under the column corresponding to their Participant number, for all 21 'Present situation' and 'Strategic goal' questions.
- The scores range between 0-4. You may type directly into relevant cells or select from the picklist.
- Scores cannot exceed 4 or be a decimal value (e.g. 2.5)
- If the participant did not answer a particular question then insert an '**X**'

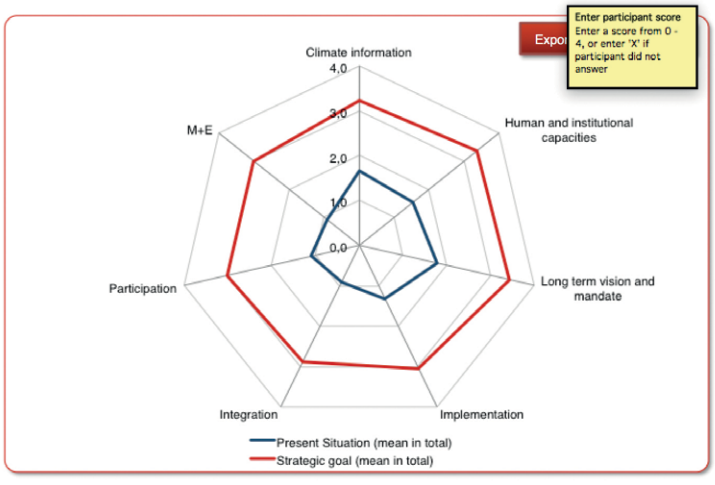
For detailed guidance on conducting SNAP:
<Link to the guidance document which is being updated as part of the project>

	1	2	3	4	5	6	7	8
Climate information								
Present situation								
1	3	3	4		2	4	3	2
2	0	1						
3	0	3						
	##	##	##					
Strategic goal								
1	4	4						
2	4	2						
3	4	4						
	##	##	##	##	##	##	##	##
Human and institutional capacities								
Present situation								
4	1	1	1	1	1	1	1	1
5	2	3	2	1	2	2	2	4
6	1	1	1	1	1	1	1	1
	##	##	##	##	##	##	##	##
Strategic goal								
4	4	3	4	4	4	3	3	3
5	4	4	3	4	4	3	4	4
6	4	3	4	4	2	3	3	3
	##	##	##	##	##	##	##	##
Long term vision and mandate								
Present situation								
7	3	2	3	3	2	2	2	2
8	2	3	1	1	1	1	1	1
9	2	3	3	2	3	1	1	3

Enter participant sc
Enter a score from (
4, or enter 'X' if
participant did not
answer

Step 3. Radar schart of summary result – capacities and needs analysis

Show / hide summary results



Suggestions to interpret the radar chart

Spokes are low for present situation **<2.0**	Participants consider the country's present adaptation planning capacity for this success factor low. → In the discussion or from the questionnaire responses, find out why.
Spokes are low for strategic goal **<2.0**	Participants either feel this success factor should not be prioritised or are not confident it can be achieved it in the next 5 years. Participants may also not know enough about this success factor to consider it a priority. → In the discussion or from the questionnaires find out why.
Spokes are high for present situation **>2.0**	Participants consider their present capacity in this success factor high. → In the discussion or from the questionnaires find out why and the reasons for their success.
Spokes are high for Strategic goal **>2.0**	This success factor is either considered important for the NAP process or participants feel it can be easily achieved in the next 5 years. → Ask participants why they consider this one of the important success factors. Crosscheck whether current planning capacities for this factor are high or low.

Step 4. Analysis of present situation

Question	Count x	0	1	2	3	4	All	Responses	A-S	Avg	A+S	StD
Climate information												
1 Availability of existing climate projections (quality and quantity)	0	0	4	10	[illegible]				1,5	**2,3**	3,2	0,8
2 Availability of existing vulnerability studies (quality and quantity)	0	5	9	8					0,4	**1,3**	2,2	0,9
3 Availability of information on technical adaptation options	0	4	10	7					0,5	**1,4**	2,3	0,9
									###	###	###	###
Human and institutional capacities												
4 Technical knowledge level on adaptation of sectoral ministry staff	2	1	13	6					0,7	**1,4**	2,1	0,7
5 Technical knowledge on adaptation of other organizations (NGOs, etc)	0	0	2	16	5	1	24	24	1,6	**2,2**	2,9	0,6
6 Effectiveness of intersectoral coordination concerning adaptation	0	6	15	1	1	1	24	24	0,1	**1,0**	1,9	0,9
							50	24	###	###	###	###
Long term vision and mandate												
7 Existence of coherent official national plan/ strategy for adaptation	0	0	6	11	7	0	24	24	1,3	**2,0**	2,8	0,7
8 Consideration of climate impacts in the official adaptation plan	0	1	12	9	2	0	24	24	0,8	**1,5**	2,2	0,7
9 Existence of a sufficient and clear NAP process mandate	1	2	7	8	5	1	24	23	0,8	**1,8**	2,8	1,0
							50	24		###		###
Implementation												
10 Extent to which implemented of adaptation projects are in line with identified	2	2	13	5	0	0	24	20	0,6	**1,2**	1,7	0,6
11 Availability of financial resources for selected adaptation priorities	0	1	9	9	4	1	24	24	0,9	**1,8**	2,7	0,9
12 Availability of sufficient and clear mandate for the NAP process	2	3	15	4	0	0	24	22	0,5	**1,0**	1,6	0,6
							50	24	###	###	###	###
Integration												
13 Integration with state development strategy and budget setting	2	5	12	5	0	0	24	22	0,3	**1,0**	1,7	0,7
14 Integration at sectoral level	0	3	15	5	1	0	24	24	0,5	**1,2**	1,9	0,7
15 Integration at local level	0	11	11	1	0	0	24	23	0,0	**0,6**	1,1	0,6
							50	24	###	###	###	###
Participation												
16 Involvement of stakeholders in national adaptation planning	1	3	9	8	1	0	24	21	0,6	**1,3**	2,1	0,8
17 Participation of vulnerable groups (e.g. women) in NAP process	4	6	6	5	0	0	24	17	0,1	**0,9**	1,7	0,8
18 Involvement of stakeholders in regional/local adaptation planning	2	7	8	3	2	0	24	20	0,1	**1,0**	1,9	0,9
							50	24	###	###	###	###
Monitoring and Evaluation												

Enter participant score
Enter a score from 0 - 4, or enter 'X' if participant did not answer

What is standard deviation?
The standard deviation measu
variation of a set of data value
mean value. A high standard d
could mean that participants h
heterogeneous view on the to
a low standard deviation could
agreement on the topic among
strong.

Standard deviation can only b
individual test questions since
in mean values.

Interpreting the results
A standard deviation value eq
1 in Column "**StD**" indicates a
variation in responses for that

Step 5. Analysis of strategic goals

Question	Count x	0	1	2	3	4	All	Responses	A-S	Avg	A+S	StD
Climate information												
1 Availability of existing climate projections (quality and quantity)	0	0	0	2	[illegible]			24	2,9	**3,6**	4,2	0,6
2 Availability of existing vulnerability studies (quality and quantity)	0	0	0	6				24	2,3	**3,0**	3,8	0,7
3 Availability of information on technical adaptation options	0	0	1	6				24	2,2	**3,0**	3,9	0,9
								24	###	###	###	###
Human and institutional capacities												
4 Technical knowledge level on adaptation of sectoral ministry staff	1	0	0	0	[illegible]			23	2,9	**3,4**	3,9	0,5
5 Technical knowledge on adaptation of other organizations (NGOs, etc)	0	0	0	0	10	14	24	24	3,1	**3,6**	4,1	0,5
6 Effectiveness of intersectoral coordination concerning adaptation	0	0	0	6	10	8	24	24	2,3	**3,1**	3,8	0,8
							50	24	###	###	###	###
Long term vision and mandate												
7 Existence of coherent official national plan/ strategy for adaptation	2	0	0	0	12	10	24	22	3,0	**3,5**	4,0	0,5
8 Consideration of climate impacts in the official adaptation plan	1	0	0	2	11	10	24	23	2,7	**3,3**	4,0	0,6
9 Existence of a sufficient and clear NAP process mandate	2	0	0	2	7	13	24	22	2,8	**3,5**	4,2	0,7
							50	23		###		###
Implementation												
10 Extent to which implemented of adaptation projects are in line with identified	1	0	0	4	13	6	24	23	2,4	**3,1**	3,7	0,7
11 Availability of financial resources for selected adaptation priorities	2	0	0	2	11	9	24	22	2,7	**3,3**	3,9	0,6
12 Availability of sufficient and clear mandate for the NAP process	1	0	1	7	12	3	24	23	2,0	**2,7**	3,5	0,7
							50	24	###	###	###	###
Integration												
13 Integration with state development strategy and budget setting	2	0	0	7	11	4	24	22	2,2	**2,9**	3,6	0,7
14 Integration at sectoral level	0	0	0	6	12	6	24	24	2,3	**3,0**	3,7	0,7
15 Integration at local level	0	0	1	7	12	4	24	24	2,0	**2,8**	3,6	0,8
							50	24	###	###	###	###
Participation												
16 Involvement of stakeholders in national adaptation planning	2	0	0	3	11	8	24	22	2,6	**3,2**	3,9	0,7
17 Participation of vulnerable groups (e.g. women) in NAP process	3	0	0	5	9	5	24	19	2,3	**3,0**	3,7	0,7
18 Involvement of stakeholders in regional/local adaptation planning	2	0	2	6	8	5	24	21	1,8	**2,8**	3,7	0,9
							50	24	###	###	###	###
Monitoring and Evaluation												
19 Entry points for integrating adaptation in M&E of sectoral programs	0	0	0	4	13	6	24	23	2,4	**3,1**	3,7	0,7
20 Existence of M&E system in the field of adaptation	4	0	0	5	12	2	24	19	2,3	**2,8**	3,4	0,6
21 Gender-sensitivity of M&E of adaptation	5	0	0	3	9	4	24	16	2,4	**3,1**	3,7	0,7
							50	23	###	###	###	###
Total	28	0	5	83	222	158			---	---	---	---

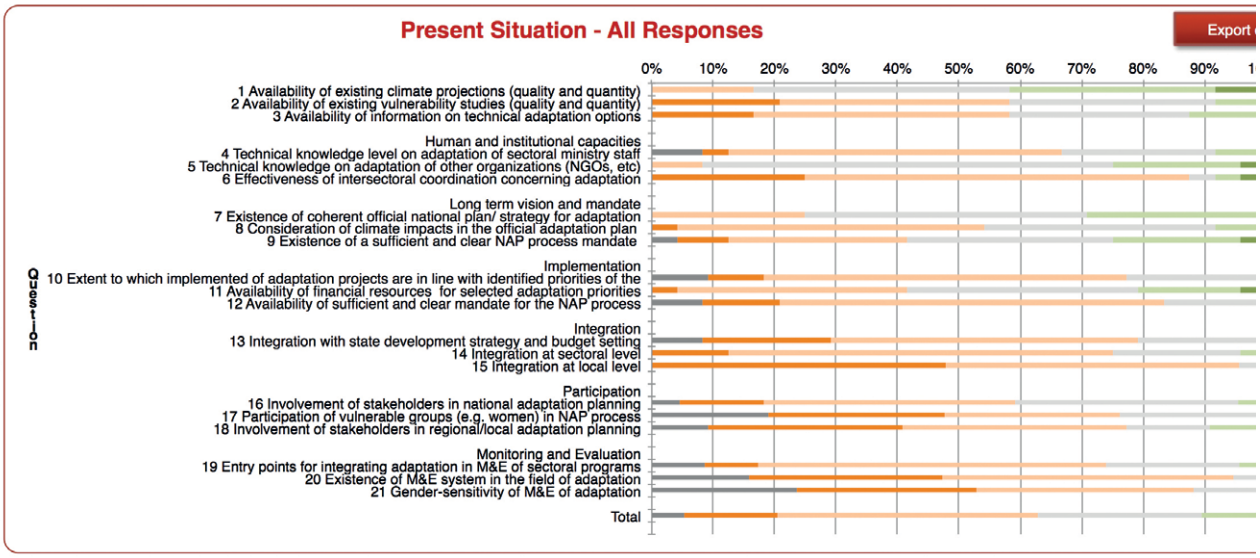
Enter participant score
Enter a score from 0 - 4, or enter 'X' if participant did not answer

What is standard deviation?
The standard deviation measures the amount of variation of a set of data values compared to the mean value. A high standard deviation in general could mean that participants have a very heterogeneous view on the topic; on the contrary, a low standard deviation could indicate that the agreement on the topic among participants is quite strong.

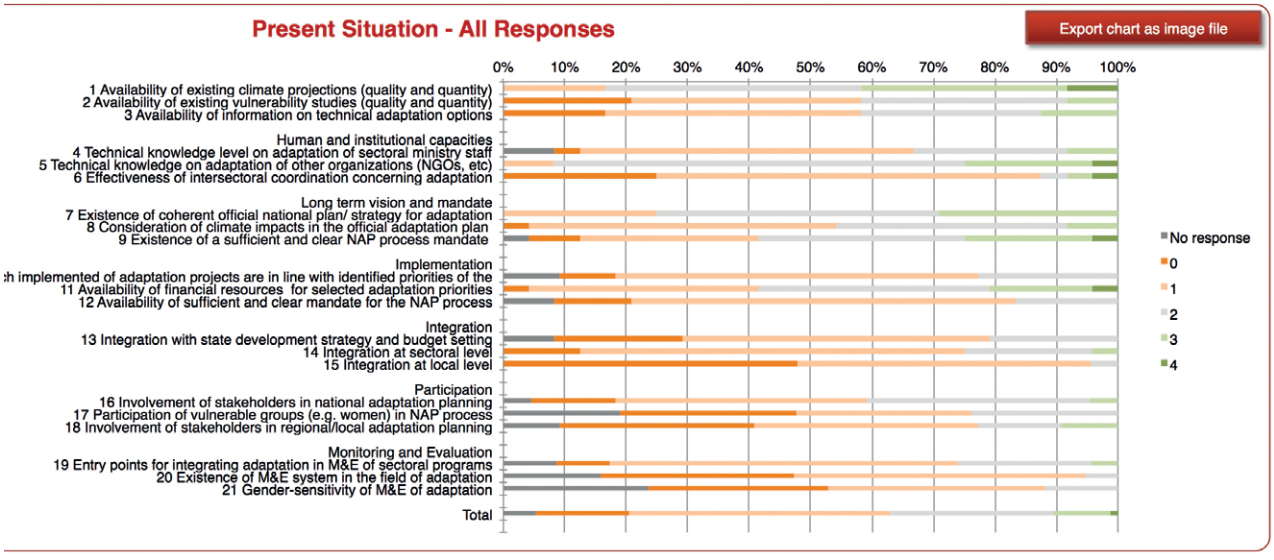
Standard deviation can only be calculated for individual test questions since there is no variation in mean values.

Interpreting the results
A standard deviation value equal to or greater than 1 in Column "**StD**" indicates a high degree of variation in responses for that factor.

Step 6. Graphs of present situation



Step 7. Graphs of strategic goals



Step 8. Insert participants' justifications for scores

Participant numbe	1 What is the level of availability of existing climate projections?	2 What is the level of availability of existing vulnerability studies?	3 What is the level of availability of information on technical adaptation options (directly and indirectly contributing to adaptation), including adaptation technologies.	4 What is the leve adaptation to clin ministries?
P1				
P2				
P3				
P4				
P5				
P6				
P7				
P8				
P9				
P10				
P11				
P12				
P13				
P14				
P15				
P16				
P17				
P18				
P19				
P20				
P21				
P22				
P23				
P24				

8

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