

# Manuscript Title

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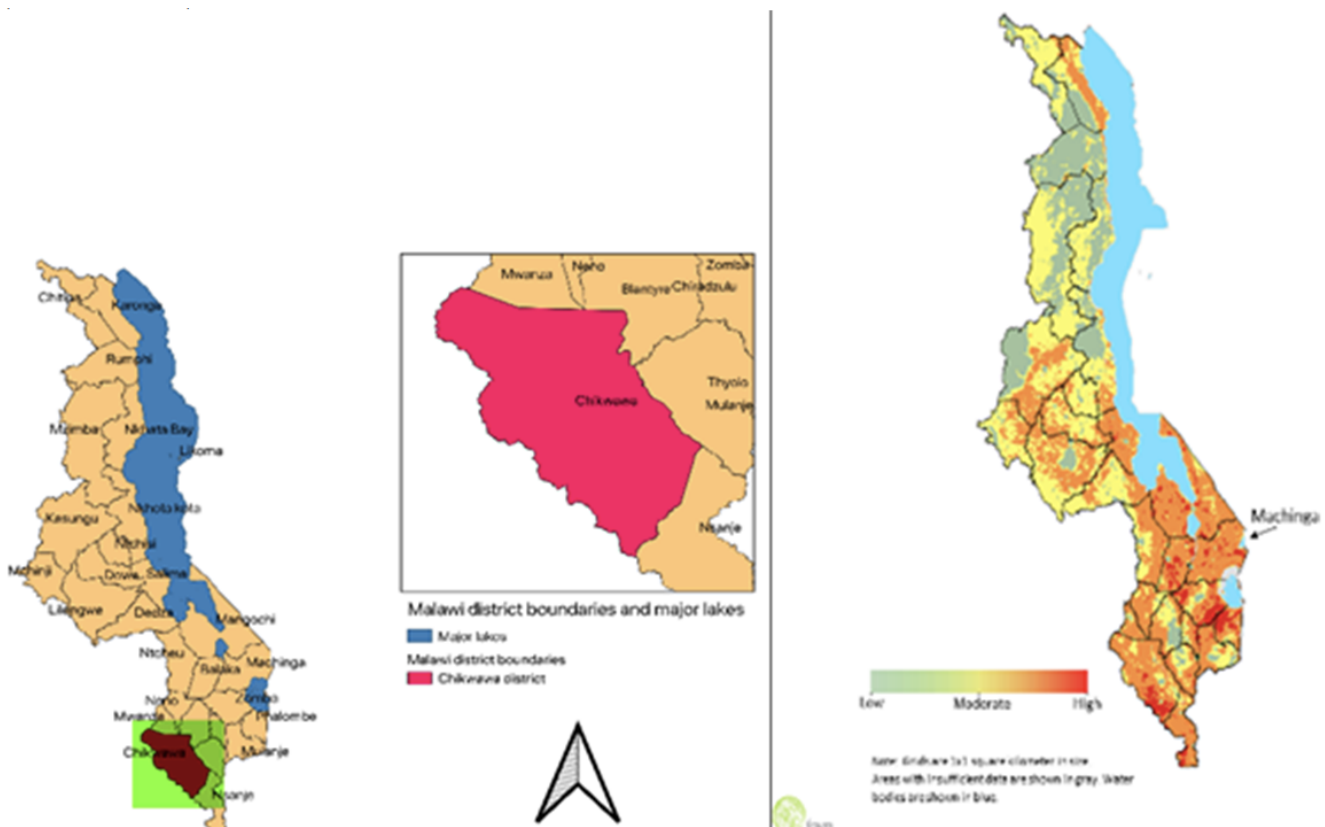
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## Abstract

Geographically, Malawi is a landlocked country in southern Africa bordering Mozambique, Tanzania, and Zambia (Masi 2017). The country has a total area of 118,484 km<sup>2</sup> of which 20% is covered by Lake Malawi. The country's topography is varied. In the mountainous sections of Malawi surrounding the Rift Valley, plateaus rise generally 800 m to 1,200 m above sea level, although some rise as high as 3,000 m in the north. Malawi experiences sub-tropical climate conditions and annual changes between wet and dry seasons. The wet season generally occurs between November and April and the dry season between May and October. Average temperatures range between 18° and 27°C, and the wet season can bring average monthly rainfall in the order of 150 mm to 300 mm (Masi 2017). Annual rainfall ranges from 500 mm in low-lying areas such as the Shire Valley to above 3,000 mm in the northern highlands (USAID 2017a).



Left panel: District map of Malawi. Source: doi: <https://doi.org/10.1371/journal.pone.0242226.g001>;  
Right panel: Malawi Climate Vulnerability Map. Source: [https://fraym.io/malawis-adaptive-capacity-to-climate-change/final\\_map/](https://fraym.io/malawis-adaptive-capacity-to-climate-change/final_map/)

Malawi is characterized by widespread poverty, and a rapidly growing population with high population density, putting pressure on land, fisheries, water and other natural resources (Masi 2017). Malawi is already experiencing some of the effects of climate change with observed rising temperatures and changes in the variability of rainfall (Masi 2017). Adverse impacts have already resulted in considerable damage, disrupted economic activity and adversely affected the lives of large number of people, particularly the poor who are the most vulnerable to weather related shocks (Masi 2017). Challenges resulting from climate change include (Masi 2017): dry spells and seasonal droughts linked to crop failures, food security and nutrition availability; intense rainfall associated with severe riverine and flash floods and damaging infrastructure including roads, bridges, schools and health facilities; soil erosion due to intense rainstorms combined with ongoing degradation of upstream catchments causing high sediment deposition loads in rivers hence massive siltation in Lake Malawi that adversely affects hydropower energy generation; heat stress and outbreaks of livestock diseases like Newcastle disease in chickens and African Swine Fever in pigs; degraded grazing fields resulting to low fodder availability and quality; competition for resources like water and grazing land; denudation of forests and woodlands driven by biomass energy demand also causing biodiversity loss; increase in disease incidence and transmission of cholera, schistosomiasis and malaria.

## Executive Summary

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Malawi is experiencing climate related hazards and extreme events which are increasing vulnerability of the communities to climate change across all sectors (Irish Aid 2018) with reports of extreme weather events (that is, droughts, heavy rains, and floods) increasing from just one during the 1970s to nineteen between 2000 and 2006 (Hughes et al. 2019). Mean temperatures have risen by an average rate of 0.21°C per decade, with comparative increases in evapotranspiration (Hughes et al. 2019). Extreme weather events that occur frequently in the country include dry spells, seasonal droughts, intense rainfall, riverine floods and flash floods (Masi 2017). Impacts include the Phalombe flash floods in 1991 that killed over 1,000 people, and wiped out villages, crops, livestock and property (REF) and an intensive 2015 flood event in XX area that left many lives and livelihoods destroyed (Irish Aid 2018). The effects of the climate changes and extreme weather events are compounded by a number of other factors. Extensive land use, including the massive cutting down of trees on the Middle and Upper Shire Valleys, has resulted in severe land degradation and soil erosion, leading to siltation of the Shire River and its tributaries, seriously affecting hydro-electric power generation, human health and fisheries (UNFCCC 2006). Soil degradation which is a major challenge in Malawi has soil losses averaged at 20 T/ha/year translating to a 4% - 25% annual yield loss (Irish Aid 2019). The average annual national soil loss rates were estimated at 29 tons per hectare in 2014, with soil erosion and nutrient depletion reported to affect more than 60% of Malawi's land area. Unsustainable farming practices, an increased demand for agricultural land and wood fuels associated with a growing population have all been attributed to cause this degradation with chemical land degradation, including soil pollution and salinization/ alkalization, leading to 15% loss in the total arable land in Malawi in the last decade alone. Between 2008 and 2016, majority of urban households relied on biomass energy with a 35% increased charcoal demand worth more than USD 66 million in 2016 providing employment opportunities for over 235,000 people (Hughes et al. 2019). This has a huge impact on agriculture which is the main economic activity of the country contributing to over 80% of the country's GDP.

Malawi is among the dozen most vulnerable countries globally in terms of adverse effects of climate change, especially drought, but also floods/heavy rains. Heavy dependence on rain-fed agriculture of both the national and local economies, and for the livelihoods of the majority (85%) rural population

makes Malawi particularly vulnerable. The rains can start as early as October, especially in the south of the country and can end as late as May, especially in the north of the country (Malawi, 2015). This early rains and extended rains disrupt the agricultural cycle hence having a negative impact on food production in the country. Factors including high population density and poverty, small landholding sizes, and the low-input low-output farming systems exacerbate farmers' vulnerability and reduce the resilience of agricultural systems and adaptive capacity of farming communities to effectively respond to adverse CC impacts or take advantage of emerging opportunities (Zulu 2017). Malawi, with a 3.06% annual growth rate (Masi 2017), has high incidences of poverty, violence, unemployment, malnutrition, HIV and AIDS, high illiteracy rates, poor health, and psychological disorders which characterize the country's young population (MDGS II 2011-2016) (Irish Aid, 2018). About 85% of the people live in rural areas and derive their livelihoods from natural resources and agriculture (from small land holdings of between 1.0 and 5.0 ha per household of five people), with the remaining 15% residing in urban areas (Malawi Vision 2020). The changes in climate and land cover and use are exacting significant adverse impacts on the economy of Malawi. A 1-in-10 year drought event would have an estimated adverse impact of 4% on the annual GDP of Malawi, with even larger impacts for 1-in-15 and 1-in-25 year events (Malawi 2015). The Government of Malawi (GoM) has estimated that 29 metric tons of soil per hectare are lost each year, costing the country an estimated 8% of its annual gross domestic product (GDP) (GOM 2001) (USAID 2017b) and for the period 2001 to 2009, the annual costs of land degradation have been estimated at USD 244 million per year, an amount equivalent to 6.8% of Malawi's country's GDP. There has been migration from rural to urban areas (at the rate of 3.6% per year), and from densely populated to sparsely populated areas or districts over the decades from areas adversely affected by climatic hazards (especially floods and drought) to safer upland areas or other districts (MoECCM 20181) and in search of income earning opportunities (Malawi Vision 2020).

National Adaptation Plans (NAPs) are generally important in several ways. For instance, if countries fail to build resilience of people, places, ecosystems and economies to the impacts of climate change, they risk losing the hard won sustainable development gains. The most unfortunate part is that poor countries are more vulnerable to the devastating impacts of climate with Malawi being one of the poorest countries in the world, ranked 170 of 188 countries on the global United Nations Development Programme's HDI. Given the climate related challenges faced by Malawi, a NAP will identify and provide a roadmap on key adaptation measures required to address key adaptation needs and processes to ensure that these measures are mainstreamed into the national planning and development processes and programmes across systems and sectors. The country's Intended National Determined Contribution INDC noted the need to enhance resilience of productive sectors like rain fed agriculture to the associated negative impacts of climate change. The 2016 Malawi National Climate Change Policy noted the need to effectively manage the impacts of climate change through interventions that build and sustain the social and ecological resilience of all Malawians; with the regulation of greenhouse gas emissions to the atmosphere at a level that would prevent dangerous human-induced interference with the climate system within a timeframe that enables social, economic and environmental development to proceed in a sustainable manner. It notes that climate change needs to be integrated into planning, development, coordination and monitoring of key relevant sectors in a gender sensitive manner and through an appropriate institutional framework. The 2006 NAPA sought to increase the adaptive capacities of vulnerable communities to adverse effects of climate change through a number of initiatives, such as: improving community resilience to climate change by the development of sustainable rural livelihoods; restoring forest in Upper, Middle and Lower Shire Valleys catchments to reduce siltation and the associated water flow problems; improving agricultural production under erratic rains and changing climatic conditions; improving Malawi's preparedness to cope with droughts and floods, and; improving climate monitoring to enhance Malawi's early warning capability and decision making and sustainable utilization of Lake Malawi and lakeshore areas resources. The NAP process seeks to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience while

integrating climate change adaptation into relevant new and existing national development policies, programs and activities.

## Framework for the NAP

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As indicated in the introduction section above, Malawi's geographical characteristics and the prevailing socioeconomic conditions among the majority of its population, makes it one of the most vulnerable countries to the impacts of climate change globally. The country has been experiencing unpredictable weather patterns characterized by poor distribution of rainfall, causing dry spells, droughts and floods. Devastating droughts and floods witnessed in recent years and high temperatures cause food insecurity affecting millions of its population through low agricultural yields as a result of reduced soil moisture and inflated food prices. Drought lowers hydroelectric power production in the Shire River by reducing the flow rates in the river as a result of complete drying up of some of the tributaries that feed into Lake Malawi. Lake Chilwa, a notable wetland, is drying up. These have made agricultural production and the country's agro-based economy extremely vulnerable. Land degradation and loss of soil fertility, decreasing availability of safe water for humans and livestock as water tables recede, forest fires, floods resulting in severe crop loss and infrastructure damage including roads and the only rail line that links the south to the centre, all result in serious socio-economic disruptions, food and water insecurity, and diseases such as diarrhoea, cholera and malaria. Increased temperatures, droughts, and floods will also result in a range of direct and indirect impacts to health, with malaria being of particular concern to Malawi because as temperatures becomes warmer, it will become more suitable for breeding of mosquitoes even at higher altitudes, which historically have not been exposed to the disease. All these changes among others are depressing economic activities, with significant impact on national GDP, and diminishing the wellbeing of the large population of rural dwellers (85%) whose livelihoods depend on wetlands, livestock and natural resources, as well as the urban poor who have to contend with unemployment and inequality

The National Adaptation Planning process which was initiated during the seventeenth session of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) is today an essential component of planning at all levels because climate change is an issue that has to be addressed over the long-term. The process enables developing and least developed country (LDC) parties to assess their vulnerabilities, mainstream climate change risks, and to address adaptation across all key sectors that are impacted by climate change (LEG, 2012). Further, it is essential that developing country and LDC parties integrate adaptation planning in the broader context of sustainable development planning<sup>2</sup> because climate change risks disproportionately magnify development challenges in these countries as compared to developed countries (LEG, 2012). The national adaptation plan (NAP) process was, therefore, established by the COP as a pathway by which effective adaptation planning in LDCs and other developing countries can be facilitated. The Government of Malawi embarked upon the National Adaptation Plan (NAP) process to adopt a medium-term approach for reducing vulnerability to climate change impacts, and to facilitate the integration of climate adaptation into ongoing planning processes at national and subnational levels.

The agreed objectives of the national adaptation plan process are (LDC-EG, 2012): (a) To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; (b) To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

The implementation of the NAP process is intended to:

- build on existing CCA planning processes and initiatives in order to provide continuity with previous planning efforts;
- build on past implementation successes;
- eliminate duplication of effort; and
- avoid repetition of implementation failures.

## **Essential functions of the NAP process**

The NAP for Malawi will serve the following functions:

1. Enhanced institutional coordination- Provision of oversight on climate change activity implementation by NSCCC and the NTCCC providing a platform for efficient and effective implementation of national, regional, and global partnerships on climate change.
2. Strengthen the capacity of Malawi's government at all levels to implement a NAP process. MDAs will provide the data and information needed at various stages of the NAP process.
3. Nationally agreed adaptation targets that are mainstreamed into sectoral strategies like the MGDS III and policies which will provide for building of climate change resilience through regular development budgets. National Climate Change Investment Plan will assist the NAP process in resource mobilization.
4. A timetable and a work-plan to harmonize the main policy inconsistencies across Malawi's policy and legal frameworks that are relevant to climate change adaptation, which again will provide for building of climate change resilience through regular development budgets.
5. Incentivized government technical officers through professional development strategies. Capacity development will entail holding regular working group meetings and developing training programs for working groups based on prior training needs assessment. Working group meetings will come up with terms of reference and a training program for climate risk and vulnerability assessments, economical appraisal and design of adaptation pathways.
6. Tools and mechanisms established to promote iterative adaptation planning. Relevant institutions, individuals and organizations involved in CCA will be encouraged to adopt and use this CCA blueprint to build climate change resilience and contribute to the sustainable socioeconomic development of the country.
7. Enhanced access to adaptation finance that delivers the country's adaptation targets effectively. The National Climate Change Investment Plan and the National Climate Change Fund both have stipulated how they will manage fiduciary risks in dealing with the financial resources. Financial integrity in the NAP process will be further assured by adhering to government operating procedures on financial management and procurement as contained in Malawi's Financial Management Act. In addition, the NAP budget will be tabled by the Minister of Finance to the National Assembly during presentation of the annual government budget for approval. All NAP work-plans will be presented to the National Technical Committee on Climate Change and the National Steering Committee on Climate Change for endorsement and approval. This will ensure accountability and transparency.

8. A promotion of private sector engagement in businesses that will meet market demand for adaptation technologies and services. This will be achieved through the engagement of the Malawi Confederation of Chambers of Commerce and Industry (MCCCI) as a go-between to coordinate and facilitate private sector engagement. There will have to be a clear plan/structure for regular and sustained engagement.
9. Identify and address capacity gaps and needs to ensure that adaptation strategies are properly designed and implemented.

## **The NAP as the umbrella programme for adaptation**

The National Adaptation Plan (NAP) addresses the effects of climate variability and climate change in Malawi with a systems approach – a departure from a sectoral approach. The framework prioritizes transformative investments for addressing the impacts of climate change on the national economy with a focus on building the resilience of vulnerable communities. The NAP evolves from a background of experience in the National Adaptation Plan of Action (NAPA). Contrastingly, the NAPA was designed to address urgent and immediate needs of the country, created to act as a channel through which the country could access support quickly and take advantage of win-win measures that would avoid increased damages and be more expensive to implement in the future. The NAPA was designed more than 10 years ago, when the country was experiencing heightened levels of vulnerability to floods, drought, and other adverse effects of climate change. With emerging and additional science and knowledge about climate change and its impacts, this NAP provides a framework for awareness and capacity for medium- and long-term adaptation in the various systems which support national socio-economic development. The current Malawi Vision 2063 (MW2063) – aspires to embrace ecosystem-based approaches in managing the environment. With climate change, Malawi has made commitment to develop systems to break the cycle of environmental degradation and increase resilience, sustainable development and planning as well as the promotion of climate change adaptation, mitigation, technology transfer and capacity building for sustainable livelihoods through Green Economy measures. The NAP framework is a direct contribution to the UNFCCC commitment and the MW2063.

There are several development programmes and activities that are taking place in Malawi at national and local governments under national government ministries and parastatals or through bilateral arrangements and partnerships with private sector entities, which need to be buttressed to be resilient to the impacts of climate changes in order to be able to effectively contribute to targeted development outcomes. Among many others, these include, for example:

- Lilongwe Water and Sanitation Project Malawi by Lilongwe Water Board jointly with Lilongwe City Council to increase access to improved water services and safely managed sanitation services in Lilongwe City;
- the Shire Valley Transformation Program in Chikwawa and Nsanje Districts in the south of Malawi to increase agricultural productivity and commercialization for targeted households and to improve the sustainable management and utilization of natural resources.
- The Social Cash Transfer (SCT), locally known as Ntukula Pakhomo Programme by the Ministry of Gender, Children, Disability and Social Welfare to cushion the poor and marginalized;
- The Public Works Programme (PWP) implemented by the Ministry of Local Government and Rural Development through the National Local Government Finance Committee (NLGFC) it provides regular payments to individuals in exchange for work, with the objective of decreasing chronic or shock-induced poverty and providing social protection.

- The School Feeding Program implemented by the Ministry of Education to improve child nutrition, increase children's ability to concentrate in class, promote enrolment and regular attendance'
- The Fertilizer Input Subsidy Programme (FISP) implemented by the Ministry of Agriculture to reduce poverty and ensure the country's food security by fostering an increase in agricultural productivity levels.
- The Cement and Malata Subsidy Programme that seeks to provide affordable access to building materials by the poor.
- The Increasing Access to Clean and Affordable Decentralized Energy Services (IACADES) Project under the Ministry of Energy with funding from UNDP and GEF among other sources.
- Community Energy, an energy company funded by the Scottish government aims to help support energy-inefficient countries and to implement new energy-based programs to provide electricity to rural areas, focusing on personal electricity and solar projects, as well as hydro and cooking stoves for communities in rural areas, with 104 rural communities benefitting so far from the installation of install personal renewable energy units. Twelve districts of Malawi have so far received direction and access to these units, and each will begin to produce and regulate their own energy, with Community Energy's support.

Given its cross-cutting nature which includes, inter alia, considerations of adaptive capacity and resilience at systems level while considering also the individual, institutional, and systemic factors, and its mainstreaming into governance and development planning structures, the NAP offers an appropriate umbrella under which national programmes for adaptation can be jointly framed, coordinated and implemented. The NAP will present an aggregate national adaptation plan that will link to appropriate local, subnational, national, and sectoral activities and action plans, maximise on efficiencies, minimise duplication of efforts, and leverage on cost constraints to programme implementation. The NAP process shall also add value to past and current activities by identifying capacity gaps, especially for the design and implementation of medium-term climate change adaptation priorities, as well as by accessing opportunities for international funding to develop more effective climate responsive planning and budgeting. The Malawi NAP coalesces all the discrete climate change adaptation plans and programmes that are or shall be implemented in the country. It comprises of collated, synthesised and analysed data of climate change trends and its impacts, aggregated from local level and downscaled from regional analyses, as well as related peculiar vulnerabilities at scale within and across regions and systems, and identifies gaps and capacity needs that should be addressed. This information will be used to identify and prioritise adaptation options, and to put in place plans to implement the proposed adaptation options, as well as how to finance them. Finally, a monitoring and evaluation framework is determined for the different programmes to track progress and to make adjustments where necessary. Periodic updates (every four years) shall be undertaken to ensure that the NAP is responsive to new and emerging needs and offers an effective mechanism for climate change adaptation at scale.

## **Coherence with national development context, SDGs, Sendai and other relevant frameworks**

The Malawi Vision 2020 is anchored on six pillars, namely; Good governance and a capable state, Human resource development and a knowledge-based economy, Private sector-led development, Infrastructure development, Productive high value and market-oriented agriculture, and Regional and international integration. The vision noted that air pollution and climate change issues though then relatively small could become serious challenges if unchecked. The vision hence identified the strategic challenges to prevent air pollution and climate change issues as: monitoring emissions of

hydrocarbons nitrogen oxides and carbon monoxides; proper management of hazardous substances and wastes; use of ozone friendly technology; establishing regulations and enacting legislation on air pollution; and promoting education on climate change issues. The Malawi vision statement highlights Malawi as an 'environmentally sustainable,' 'self-reliant with equal opportunities for and active participation by all,' and 'having social services, vibrant cultural and religious values and being a technologically driven middle- income country.' This aligns with the vision of the NAP vision for Malawi of "a country with people, ecosystems and infrastructure that are resilient and have adaptive capacity to the impacts of climate change."

The government of Malawi developed the National Climate Change Management Policy 2017-2027, to assist the country achieve its long term goal for climate change management, which is to reduce the socio-economic impacts of adverse effects of climatic change. The NCCM policy is in line with other national strategies and plans. For example, the Malawi Growth Development Strategy II 2011-2016 recognizes that climate change, environment and natural resources management as key priority areas that needs to be responded to using appropriate approaches because it contributes to lower land quality, heightens extreme weather conditions (e.g. recurrent droughts, heavy rain falls and floods) which sometimes lead to emergency relief efforts that divert much needed finances from development projects, and has significant adverse consequences for agriculture, food security, poverty and vulnerability. The process of developing the MGDS III 2017-2022 considered all the international commitments that Malawi made which include the SDGs, African Union Agenda 2063, SADC RISDP, and other regional treaties. The government advocated for alignment of the SDG to all sector and institutional programming. This guaranteed that all development intervention from the cooperating partners are well aligned towards the SDG timely tracking and reporting of all the agreed indicators. On the other hand, Malawi is also committed to implement the Sendai Framework for Disaster Risk Reduction 2015-2030 as it strives to achieve various SDGs since Malawi is suffering the impacts of disasters both from climate change as well another natural causes. The commitment goes beyond the 2030 agenda as it is clear that resilience building is paramount importance if the development gains being achieved in all the national efforts should be sustained. Malawi is therefore well placed to enact and mainstream a NAP to operationalize its approach to adaptation to climate change and to monitor progress towards desired outcomes.

## Approach and Methodologies

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### Guiding principles

In line with the principles established by the UNFCCC and also in line with Malawi's development goals, the guiding principles for the NAP process are as follows: developing sustainably; uplifting the poor and the vulnerable; respecting the critical role of gender; encouraging participation and ownership; incorporating traditional and Indigenous knowledge, and proceeding with financial accountability and integrity.

- a. A country-driven approach. country-driven approaches inspire ownership and ensure that plans, programmes and activities are aligned with national priorities.
- b. Sustainable development Sustainable development is defined as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (United Nations, 1987).
- c. Uplifting the poor and the vulnerable Poor people in Malawi, who are also the majority, are the most affected by climate change impacts and have the least means of adapting to these impacts. Rural, urban and peri-urban poor people bear the brunt of climate-related disasters such as floods because their communities suffer from weak infrastructure. When drought and famine occur, the



poor can also cope because of low incomes and reliance on rain-fed agriculture. Malawi's NAP will, therefore, among other principles, be guided by pro-poor principles to ensure inclusiveness. The NAP will ensure that the poor and vulnerable, including women and children, are targeted and benefit from the planning and implementing climate change adaptation interventions. The main objective of this principle is poverty reduction. This principle is in line with Malawi's Vision 20/20 and SDG 1.

- d. Gender and social inclusion, and particular consideration of marginalized groups such as women  
The NAP will ensure that Malawi's Gender Policy (2015) principles—gender parity, women's empowerment and upholding women's rights—guide the process. The process will include the youth who are already engaged through various climate change youth networks
- e. Participation NAP Process and ownership This is a critical guiding principle for the NAP. It will allow full involvement of stakeholders and beneficiaries in the NAP activities, thereby enabling information sharing and minimizing efforts' duplication. Soliciting the views of stakeholders at each step of the NAP will ensure their ownership, which will positively affect the outcomes. There are many actors in the climate change adaptation field that are already carrying out various activities. These will now be engaged with the NAP process guided by the framework, which will result in increased focus in terms of planning and funding for adaptation activities. This is important because adaptation activities have long been underfunded at both the central and district level. Stakeholder participation is necessary for buy-in, ownership, involvement in, and support of planned activities.
- f. Incorporating traditional and indigenous While scientific methods of weather forecasting have evolved in the last 100 years or so, rural communities the world over have traditionally relied on Indigenous forecasting methods. In Malawi, communities have used local Indigenous methods to predict good or bad years by using cloud observations (appearance), wind directions, stars, and the behaviour of animals, insects and plants. Indigenous local knowledge of weather forecasting is useful in decision making at the village level. The NAP process will encourage integrating Indigenous knowledge with the scientific knowledge of weather forecasting. The process requires that communities be engaged to identify knowledge integrated with science, which could then be further disseminated for use by scientists, practitioners and policy- makers.
- g. Financial accountability and integrity Resources allocated to climate change adaptation programs can greatly increase over time if there is confidence that these resources will be spent prudently, be quickly accessed, and produce the intended results. This calls for good fiduciary governance of the resources. The National Climate Change Investment Plan and the National Climate Change Fund have stipulated how they will manage fiduciary risks in dealing with the financial resources. Financial integrity in the NAP process will be further assured by adhering to government operating procedures on financial management and procurement as contained in Malawi's Financial Management Act. Besides, the NAP budget will be tabled by the Minister of Finance to the National Assembly during the annual government budget presentation for approval. All NAP workplans will be presented to the National Technical Committee on Climate Change and the National Steering Committee on Climate Change for endorsement and approval. This will ensure accountability and transparency.
- h. A multidisciplinary and complementary NAP approach, building upon relevant existing plans and programmes Multidisciplinary and complementary approaches are essential in the NAP approach because adaptation is itself multidisciplinary and cross-cutting. The country has mainstreamed climate change issues in its development plans because it has implications for employment creation and economic growth. Its impact on various economic sectors such as agriculture, health and nutrition, tourism, and natural resources has been well established.

- i. Simplicity and flexibility of procedures based on the country's circumstances Simplicity is important where actions are planned in multidisciplinary and multi-institutional/multi-agency contexts coupled with strong involvement of the public and private sector, communities and individuals. Flexibility is important, as adjustments can be made to improve different aspects of implemented programmes.
- j. Alignment with the GCF country programme. This alignment is important to improve access to funds such as the Green Climate Fund. Such alignment would include coherency with the national climate change policy and related strategies and plans, coherence with existing policies, the executing entity's capacity to deliver, and stakeholder consultations and engagement.

## **Guidelines used**

The main guidelines used included:

· The Technical Guidelines for the National Adaptation Plan Process, UNFCCC – this was used as the primary document for framing of the structure and content of the NAP. It also requires that the NAP process: follows a country-driven, fully transparent, approach; is based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge; and facilitates country-owned, country-driven action and not be prescriptive, nor result in the duplication of efforts undertaken in-country.

- Malawi National Climate Change Policy-2017-2027
- Malawi Second National Communication-2011
- Malawi Vision 2020
- The Malawi Growth Development Strategy 2017-2022
- Malawi Intended Nationally Determined Contribution
- National Adaptation Plan of Actions-2006
- Malawi NAP Stocktaking Report 2016
- National Climate Change Investment Plan (2013-2018)
- National Environment and Climate Change Management 2012-2016
- National Strategy for Sustainable Development
- Malawi Strategy on Climate Change Learning

In addition, and following the experiences gathered from the implementation of the NAPA process, the Technical Guidelines recommend:

- using locally defined criteria for ranking vulnerabilities and prioritizing project activities, which will build confidence and buy-in across all stakeholders;
- using available data and assessments as a basis for more comprehensive assessments; and

- engaging national experts, as this will also enhance the experience and capacity of the country.

These were supported with emerging new data from the published literature. The assessment of these documents together included:

- a. Process of identification/stocktaking of desirable and available information
  - i. Climate and socio-economic data and information
  - ii. Current assessments: Exploring possibilities for further assessments
  - iii. Policies, strategies, plans
  - iv. Existing initiatives on adaptation
- b. Resource mobilization for the process.

## **A systems approach to adaptation**

Systems are complex, and each system interacts to various degrees with other related systems. Sectoral interventions have not been as successful as desired because they do not take into account the interactions of system components, including the fact that the mandate to manage some components of the system may lie in a different sector, and hence come under a different institutional mandate whose primary goal is not necessarily in tandem with those of another sector, and more often than not, there is very little synergy between sectoral programmes.

Urban areas, for example, are complex since many social, physical and economic systems meet and interact, with many of these extending well beyond its spatial boundaries, e.g. water and power supply systems, while other linkages may be transboundary. It is important, therefore, that National Adaptation Plans capture these systems and their interlinkages, scale and stakeholder diversity, so that appropriate and synergistic adaptation measures can be devised and implemented. Thus, the NAP process uses a systems approach which facilitates the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

The framework to guide the assessment of vulnerabilities and risks included: - i. Conceptual framework of vulnerability and risk at various levels: national, system level, local level, etc. - ii. Boundary conditions for the assessment using the period 1971-2000 for baseline climate but also extended further back into time where data is available. - iii. Focus on key systems/sectors - iv. Synergy with SDGs, Sendai Framework for DRR, and other relevant regional and national frameworks.

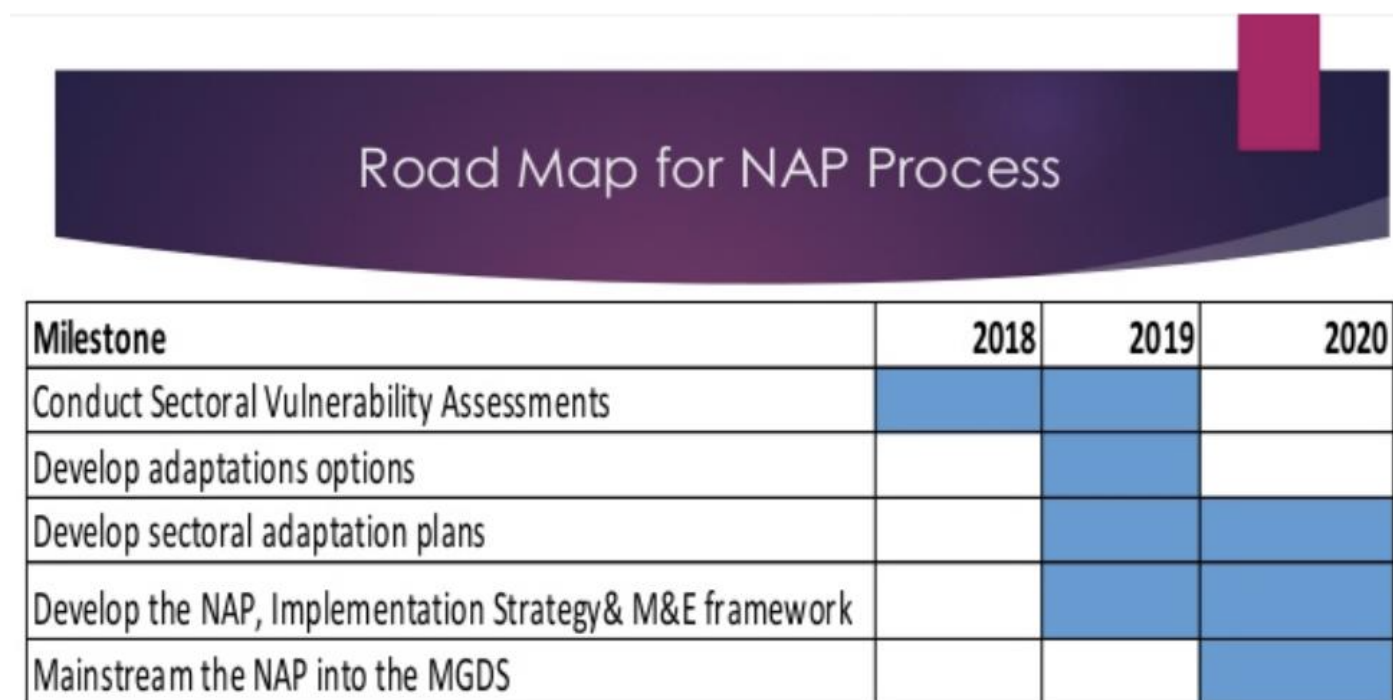
## **Other unique considerations**

The emergence of the COVID-19 pandemic in early 2020 disrupted globally, established societal structures and ways of doing things, and has had devastating impacts on human health, stressed health systems and severely disrupted national economies. A UNDP 2020 study “Covid-19 Pandemic in Malawi Final Report June 2020” shows the high levels of vulnerabilities of individuals, households and the whole Malawian economy affecting negatively on almost all sectors of the economic growth in the country. The study projects that the negative impacts of COVID-19 on the economy are projected to persist for more than 10 years. The open NAP initiative in Malawi has been developed with Malawi being one of the 11 Africa-Asia-Pacific region beneficiaries of GCF funding of a mitigation-themed project named Climate Investor One. However, more funding of projects from other funding sources like LDCF, SCCC, GEF and Adaptation Fund among other sources has not been materialized perhaps due to lockdowns and poor internet access across the country affecting personnel availability to apply for funding as well as undertake the projects. It is however hoped that the situation will normalize and

that COVID-19 will be properly managed so as more funding will be availed to Malawi to continue developing this NAP and more funds can be used to develop the next NAP.

## Road Map

This particular process was initiated in 2016 with a stakeholder engagement workshop (Figure XX). Milestones in the process are illustrated in Table XX below, with the goal of mainstreaming the NAP into the Malawi Growth and Development Strategy (MDGS III).



image

(Source)

## National Context

### National circumstances

**Environment:** Malawi's landscape has a varied topography and is dominated by the Great Rift Valley, which runs north to south and contains Lake Malawi and the Shire River Valley. To the west are the central plateaus, highlands (Nyika and Viphya in the north and Shire in the south) and isolated mountains (Mulanje and Zomba) (USAID, 2017a). In the mountainous sections of Malawi surrounding the Rift Valley, plateaus rise generally 800m to 1,200m above sea level, with some especially in the north rising as high as 3,000m. To the south of Lake Malawi lie the Shire Highlands, approximately 900m above sea level. The Shire River plays a very significant role in Malawi by providing water for generating hydropower (98% of Malawi's electricity), agriculture, fisheries, transport, tourism, urban and rural water supply along its length, impacting the livelihoods of over 5.5 million people in the southern region of Malawi (Masi, 2017). Freshwater for irrigation in Malawi's plantations such as Illovo Sugar at Nchalo is obtained from the Shire River; as well as other domestic and industrial uses (UNFCC, 2006). Malawi has multiple important waterbodies including Lake Malawi, (the third largest African Rift Valley Lake), Lakes Malombe, Lake Chilwa, and Lake Chiuta(USAID, 2015). Other rivers in Malawi providing water comprise of North and South Rukuru and Songwe in the Northern Region, Linthipe, Bua and Dwangwa in the Central Region, and Shire and Ruw in the Southern Region (Global Water Partnership, 2016).

In 2005, forest area coverage was at 24.3% while cultivated land covered 33.7%, shrubs and savanna woodlands covered 19.9% and the remaining 22.1% of Malawi was covered by water. In the upper Shire River catchment, there was an 18 % increase in agricultural land in the 1989 to 2002 period (Mtilatila et al. 2020). Forests and trees impacts livelihoods and the economy through the supply of biomass fuels, provision of habitats for wildlife and biodiversity, prevention of land degradation, protection of watersheds and acts as sources of soil fertility (Hughes et al. 2019). Malawi has the highest deforestation rate in sub-Saharan Africa with the government of Malawi estimating that the annual rate of deforestation in Malawi is 1.0–2.8%. Estimation shows that the ratio of forest area decreased from 51% to 33% from 1990 to 2010 (Mapulanga and Naito, 2019). Malawi has very low greenhouse gas (GHG) emissions of around 1.4 tons CO<sub>2</sub> equivalents (CO<sub>2</sub>e) per capita in 2015 by global standards (Hughes et al. 2019). According to Malawi's Nationally Determined Contribution (NDC), the main sectors contributing to GHG emissions are as at 2015, forestry at 78% of the emissions, agriculture at 16% and energy at 4% (Irish Aid, 2018).

Soil degradation is a major challenge with soil losses averaged at 20 T/ha/year. This translate in a yield loss of 4% - 25% annually (Irish Aid 2019). In 2014, the average annual national soil loss rates were estimated at 29 tons per hectare, and soil erosion and nutrient depletion are reported to affect more than 60% of Malawi's land area. The main causes of this degradation are unsustainable farming practices, increasing demand for agricultural land and wood fuels associated with a growing population. Chemical land degradation, including soil pollution and salinization/ alkalization, has led to 15% loss in the arable land in Malawi in the last decade alone. The annual costs of land degradation between 2001 and 2009 have been estimated at USD 244 million per year-an amount equivalent to 6.8% of Malawi's country's GDP. Between 2008 and 2016, urban household demand for charcoal increased by 35% and was worth more than USD 66 million in 2016 and provided employment opportunities for over 235,000 people (Hughes et al. 2019).

**Climate:** The majority of the country experiences a cool tropical continental climate, characterized by two distinct seasons: a rainy season from November to April and a dry season from May to October. Annual rainfall ranges from 500 mm in low-lying areas such as the Shire Valley to above 3,000 mm in the northern highlands. Overall rainfall exhibits high inter-annual variability and is highly influenced by the El Niño Southern Oscillation (USAID, 2017a). The rains can start as early as October, especially in the south of the country and can end as late as May, especially in the north of the country (Malawi, 2015). The warm-wet season stretches from November to April, during which 95% of the annual precipitation takes place. Malawi experiences large heterogeneity in rainfall regime, and there are big differences between the North, Central and South regions. Annual average rainfall varies from 725mm to 2,500mm with Lilongwe having an average of 900mm, Blantyre 1,127mm, Mzuzu 1,289mm and Zomba 1,433mm (Masi, 2017). In the south of Malawi, the wet season normally lasts from November to February bringing around 150-300mm per month, but rain continues into March and April in the north of the country as the ITCZ migrates northwards. Inter-annual variability in the wet-season rainfall in Malawi is also strongly influenced by Indian Ocean Sea Surface Temperatures, which can vary from one year to another due to variations in patterns of atmospheric and oceanic circulation. The most well documented cause of this variability is the El Nino Southern Oscillation (ENSO) (UNDP, n.d.).

Average daily temperatures vary with seasons and elevation, with the coldest temperatures (12–15°C) in July in the highlands and the hottest (25–26°C) in October in the Lower Shire Valley (USAID 2017a). Mean annual temperature has increased by 0.9°C between 1960 and 2006, an average rate of 0.21°C per decade (Irish Aid 2018). A cool, dry winter season runs from May to August with mean daytime temperatures varying between 17 and 27°C, and temperatures falling between 4 and 10°C at night. A hot, dry season lasts from September to October with daytime temperatures between 25 and 37°C. The wet season generally occurs between November and April and the dry season between May and October. Average temperatures range between 18° and 27°C, and the wet season can bring average monthly rainfall in the order of 150mm to 300mm (Masi, 2017; UNDP, n.d.). Between 1967 and 2003,

the country experienced six major droughts and incidences of flooding. 2011-12 droughts had severe effects on food security in many districts in Malawi, with approximately 2 million people affected, particularly in the southern districts. (Irish Aid, 2018). Floods in Malawi have been associated with heavy upstream rainfall resulting in too much water downstream that leads to the breaking-up of river banks. This is a common feature on the North Rukuru in Karonga, Likangala in Zomba, and the Ruo/Shire Rivers in Chikwawa/Nsanje. Malawi has also experienced flush floods due to prolonged torrential rains, such as the Phalombe flush floods in 1991 that killed over 1,000 people, and wiped out villages, crops, livestock and property (UNFCCC, 2006). Intensive flooding in 2015 left many lives and livelihoods destroyed (Irish Aid, 2018).

**Political context:** The Republic of Malawi is a sovereign State with rights and obligations under the Law of Nations (Malawi Constitution, Chapter one). There shall be a President of the Republic who shall be Head of State and Government and the Commander-in-Chief of the Defense Forces of Malawi (Article 78). The President shall be elected by a majority of the electorate through direct, universal and equal suffrage (Article 80(2)). The National Assembly of Malawi is the supreme legislative body of the nation. The National Assembly has 193 Members of Parliament (MPs) who are directly elected in single-member constituencies using the simple majority system and serve five-year terms. Malawi is a member of the United Nations, the Commonwealth of Nations, the Southern African Development Community (SADC) (Malawi 2017), the Common Market for Eastern and Southern Africa (COMESA), and the African Union (AU). Malawi was a one party state since attaining her independence until 1993 when it became a multi-party state (Masi, 2017).

**Legislative context:** The GoM prioritizes climate change, natural resources, and environmental management in its development strategy, the Malawi Growth and Development Strategy (MGDS II 2012–2016). The GoM has also invested in the Green Belt Initiative (GBI); an initiative which seeks to transform Malawi, through irrigation, from a predominantly consuming and importing country to a producing and exporting country (USAID, 2013). In 2016, Malawi made an ambitious 4.5 million hectares restoration pledge to the Bonn Challenge and the African Forest Landscape Restoration Initiative (AFR100) by 2030 estimated at a cost of approximately 279 billion MWK or approximately 62000 MWK per hectare (USAID, 2017b). GoM in partnership with the World Bank and African Development Bank has formulated this Strategic Program for Climate Resilience (SPCR) under the Pilot Programme for Climate Resilience (PPCR) to act as a framework for addressing the challenges of climate change that impact on the national economy and community livelihoods. The SPCR will build on the available enabling frameworks and efforts in climate resilience-building programs as stipulated in the Malawi Growth and Development Strategy III, National Climate Change Management Policy (2016), National Agriculture Policy (2016), National Climate Change Investment Plan (2013), and Malawi's Nationally Determined Contribution under the UNFCCC (2015).

Malawi is a signatory to various international treaties, instruments and that cover climate change. These include the United Nations Framework Convention on Climate Change (UNFCCC) and the Kyoto Protocol. These treaties and instruments oblige the country to take various actions to address climate challenges including putting in place instruments such as climate change policies and legislation. Malawi is a member of the Least Developed Countries' (LDCs) Group, the LDC Expert Group (LEG), and currently has a seat on the board of the Adaptation Committee and the Green Climate Fund (GCF) Board (Masi, 2017). The Government has put in place a series of legislative sectoral frameworks and strategies to integrate environment and climate change management in socio-economic development activities. Key ones include: Vision 2020; the Malawi Growth and Development Strategies; National Environmental Policy (NEP) 2004; NAPA 2007; National Climate Change Investment Plan (2013); Malawi Energy Policy (2003); Food Security Policy (2006); Disaster Preparedness and Relief Act (DPRA) (1991); Environment Management Act (1996) and the Disaster Risk Management Policy 2015 (Irish Aid, 2018).

**Social context:** According to the World Population review, January 2018, Malawi has a land area of 118,484 square kilometers, with an estimated population of 18,921,352 million which ranks 61st in the world. Malawi still has a fairly low population density of 129 people per square kilometer (86th in the world). However, Malawi is growing rapidly with a 3.06% (Masi, 2017) annual growth rate. High incidences of poverty, violence, unemployment, malnutrition, HIV and AIDS, high illiteracy rates, abuse, poor health, and psychological disorders characterize the country's young population (MDGS II 2011-2016) (Irish Aid, 2018). About 85% of the people live in rural areas and derive their livelihoods from natural resources and agriculture (from small land holdings of between 1.0 and 5.0 ha per household of five people), with the remaining 15% residing in urban areas. About 48% of the population is below 15 years of age. The overall average life expectancy as of 2008 statistics was 37 years with fertility rates declining from 7.6 in 1984 to 2.8% in 2008 and later rising to 6.7 (Malawi Vision 2020). There has been migration from rural to urban areas (at the rate of 3.6% per year), and from densely populated to sparsely populated areas or districts over the decades from areas adversely affected by climatic hazards (especially floods and drought) to safer upland areas or other districts (Ministry of Environment and Climate Change Management Environmental Affairs Department, 2018) and in search of income earning opportunities (Malawi Vision 2020). 33150 cases and 981 deaths were recorded in Malawi's worst Cholera outbreak. Waterborne infectious diseases are a leading cause of child mortality and contribute to forms of growth retardation, including stunting and wasting with 48 to 53 percent of children under the age of five suffering from stunted growth (Republic of Malawi, 2012). Overall, records as to disaster damage provided by Department of Disaster Management Affairs, DoDMA and the Prevention Web (by The United Nations Office for Disaster Risk Reduction, UNISDR) give critical information related to human and economic losses resulting from the disasters that have occurred in Malawi within last three decades. More than 47 natural disasters were recorded in the last three decades and these disasters range from droughts, earthquakes, epidemics, floods and storms. In these natural disasters, a total of 2,775 people were killed with an average of 90 people killed per year. Most of these (60%) died due to epidemics (National Water Resources Masterplan- Part II masterplan). Malaria is the most common disease in the lake areas, followed by respiratory infections, diarrhea, anemia, and bilharzia/schistosomiasis. HIV/AIDS and other sexually transmitted infections (STIs) are also common. Research conducted by Madsen et al. between 1998 and 2007 found a high prevalence of schistosomiasis in communities living along the shores of Lake Malawi. They found that the prevalence of urinary schistosomiasis ranged from 10.2% to 26.4% in inland villages and from 21.0% to 72.7% in lakeshore villages. Infection rates were higher among school age children ranging from 15.3% to 57.1% in inland schools and from 56.2% to 94.0% in lakeshore schools. The HIV infection rate in Malawi as a whole was 10.3% in 2010 (UNAIDS) (USAID, 2015).

**Economic context:** Agriculture is central to Malawi's economy, contributing nearly 40 percent of GDP and roughly 90 percent of the country's export earnings (USAID, 2017a). Maize is a dominant crop in Malawi, accounting for 28.8 percent of agricultural GDP. Groundnut is an important smallholder food and cash crop in Malawi contributing 1.6 percent to agricultural GDP. Soya and sunflower account for 13 percent of that sector's total intermediate input expenditure, and account for 1.9 percent of agricultural GDP (Aragie et al. 2018). The agriculture sector is the driver of Malawi's economy and provides employment to 85% of the workforce, and contributes 85 to 90% of foreign exchange earnings and 60 to 70% of raw materials for the manufacturing sector (UNFCCC, 2006). Over half (51%) of Malawi's predominantly rural (86%) population live below the national poverty line, most (85%) dependent on agriculture for livelihood, and on only \$320 United States Dollars (USD) per capita per year (Chinsinga, Chasukwa and Naess 2012; World Bank 2014; Zulu 2017). Average annual headline inflation in 2016 stood at 22.6%, slightly lower than the 2015 figure of 21.0%, with rising food inflation as the main driver. Power generation reduced by 30% due to low levels in the Shire River affecting economic activities in sectors such as manufacturing, which experienced low capacity utilization. Malawi's overall GDP grew at only 2.7% in 2016, down from 2.9% in 2015. According to the poverty statistics for 2010, 70.9% of the people in Malawi are living on less than \$1.90 a day. The people living below the national poverty line are 50.7% and the country inequality trend (GINI Index) stands at 46.1

(Irish Aid 2018). According to the United Nations Development Program's Human Development Report for 2014, about 62% of the population in Malawi lives on less than US \$1.25 a day and 89% lives below the US \$2 a day threshold (USAID, 2015). Tobacco is Malawi's largest export cash crop, accounting for over half of export earnings, followed by tea and sugar (Purchase from Africans for Africa. n.d.; FAO, n.d.; and World Bank, 2012). Fishing contributes about 4% to Malawi's Domestic Product (GDP) and accounts for 60–70 percent of Malawians' animal protein intake. An estimated 1.6 million Malawians derive at least some income from fishing, fish processing, marketing and trading, boat and gear-making, and allied industries (Brummet and Noble, 1995; Andrew et al. 2003). Wildlife is a valuable tourism resource as it can contribute significantly to incomes and employment. The sector, however, faces a number of challenges including poaching, poor supporting infrastructure, and low community participation in wildlife conservation (USAID, 2013).

Malawi is one of the poorest countries in the world, ranked 170 of 188 countries on the global United Nations Development Programme's HDI. More than 70% of the population lives below the international poverty line of USD 1.90 per capita per day and GDP per capita is just USD 372 (2015). Both inequality and poverty rates are high. About 20.7% of the people are so poor that they cannot afford to eat a minimum daily recommended food intake, and at least 37% of children under five are chronically undernourished and stunted (low weight for age). Malawi's wealth per capita, USD 8,409 in 2014, is much lower than the average for other low-income countries (USD 13,629) or for Sub-Saharan Africa as a whole (USD 25,562) (Hughes et al. 2019). Real gross domestic product (GDP) grew by 5.7% in 2014, but slowed down to 2.5% in 2016 after floods in early 2015 followed by two consecutive years of drought, which has adversely affected the performance of agriculture, which accounts for about a third of the country's GDP. The country has a GDP of US\$ 6.4 billion (2015 data), and per capita income (2015 data) is US\$ 34011. Malawi is a low-income country with 74% of Malawians earning US\$ 1.25 per day or less. Using national poverty headcount, approximately 50.7% of the population live below the national poverty line. About 24.5% are considered ultra-poor, meaning that they cannot afford to meet the minimum standard of the daily recommended food requirement. Levels of chronic malnutrition are very high at 42%, wasting is at 4% and underweight prevalence is at 13%. The 2015 flood damage cost event estimated at US\$ 335 million, equivalent to approximately 5% of GDP. Land degradation is estimated to cost the equivalent of 5.3% of GDP each year with soil degradation a significant factor that contributes between 4 and 25% to the loss of agricultural yields in Malawi (Masi, 2017).

Lake Malawi provides the main source of the country's fish production. Other important sources include Lake Chilwa, Lake Malombe and the Elephant Marsh. The sector has experienced considerable decline of commercially important fish species like Chambo (*Oreochromis* spp.) from around 30,000 Mt a year in the late 20th century to about 2,000 Mt annually in recent years from Lake Malawi caused by overfishing and climatic influences which result in reduced water levels and disrupt fish breeding and nursery sites. Weak governance capacity to enforce fisheries regulations, and control of illegal fishing and destruction of habitats, contribute to reduced abundance of fish stocks and fisheries resources in Malawi (Masi, 2017). The National Human Development Report of 2001 ranks Malawi as one of the lowest in terms of Human Development Index (HDI), placing it at number 163 out of 173 countries in the world (United Nations Development Programme (UNDP)/Malawi Government (MG), 2001). It is one of the poorest countries in Africa, with about 65% of its population living below the poverty line in 1998, and 29% living in extreme poverty (MG, 1995, 2000; MoA, 2005; UNFCCC 2006). The manufacturing sector currently makes a small contribution to national income (12% of GDP) and employment and there is limited industrial diversification. In addition, there are weak inter and intra-industry linkages (Malawi Vision 2020).

**Technological context:** It is the aspirations of Malawians through their Malawi's Vision 2020 to have a science and technology-driven economy. A developing country such as Malawi needs information technology to achieve development in all spheres of human endeavor. However, promoting the use of IT is the main challenge (Malawi Vision 2020). Greater use of geospatial technologies such as aerial



surveys, satellite monitoring, and drone surveys could help address the limited human resources at field levels. Mobile phone technologies are rapidly improving communication and services with growing opportunities for informing Malawians on environmental issues (Hughes et al. 2019). The media plays a key role in raising public awareness on climate change issues especially in informing rural communities who suffer most due to adverse impacts of climate change due to their low adaptive capacity (Ministry of Environment and Climate Change Management Environmental Affairs Department, 2013-2018). The systematic use of new cell phone technologies, social media, video documentaries, radio and TV programs, and other information-communication technologies can greatly accelerate the widespread knowledge of proven restoration interventions (Ministry of Natural Resources, Energy and Mining, n.d.).

## Legal frameworks

The vision of Malawi's NAP aligns with the Malawi Growth and Development Strategy III (2017-2022). MGDS III is anchored in Water Development, Agriculture and Climate Change. The NAP process will address climate change management through improved community resilience to climate change through enhanced agricultural production, infrastructure development and disaster risk management. The MGDS III adaptation strategies for Agriculture, Water Development and Climate Change Management include increased agricultural production and productivity, increased land under irrigation; increased agricultural diversification, enhanced agricultural risk management, enhanced integrated water resources management at all levels, and improved weather and climate monitoring for early warning, preparedness and timely response. These will be the strategies the NAP will also prioritize. The MGDS III goals are premised on Malawi's long term development aspirations well laid out in Vision 2020. Malawi has also prioritized climate change, environment and natural resources management among the priorities within priorities of the Malawi Growth and Development Strategy (MGDS II). Government of Malawi has also developed the National Climate Change Management Policy (NCCMP) whose goal is to promote climate change adaptation, mitigation, technology transfer and capacity building for sustainable livelihoods through Green Economy measures for Malawi. The policy outlines six priority areas for climate change management in the country which include: Climate change adaptation, Climate change mitigation, Capacity building, education, training and awareness, Research, technology development and transfer, and systematic observation, Climate change financing, Cross-cutting issues like gender consideration, population dynamics and HIV and AIDS.

The NCCMP policy statements are:

1. Reduce vulnerabilities of populations in Malawi and promote community and ecosystem resilience to the impacts of climate change;
2. Ensure that women, girls and other vulnerable groups are engaged and involved in planning and implementing climate change adaptation interventions; and
3. Ensure that communities are able to adapt to climate change by promoting climate change adaptive development in the long term.
4. Promote the reduction of greenhouse gas emissions; and
5. Enhance carbon sinks through re-afforestation and sustainable utilization of forest resources.
6. Build capacity in all sectors and at all levels in climate change to attain socio-economic development utilizing the principles of green economy; and

7. Address capacity gaps on investment in skills and capabilities for negotiations, mechanisms for reducing emissions while supporting prudent environmental management and sustainable economic growth.
8. Enhance research, technology and systematic observation for climate change management, supported by appropriate capacity development and dedicated financing
9. Encourage resource mobilization and commitment of government for the prioritized technologies.
10. Enhanced financing for implementation and coordination of climate change management activities through increased national budgetary allocation, establishment of a Climate Change Management Fund, improved access to international climate financing (both multilateral and bilateral) and private sector investments.
11. Mainstream gender and issues affecting the disadvantaged groups into all climate change strategies, plans and programmes.
12. Integrate population issues into climate change management in the development agenda through an integrated approach which would reduce poverty, protect natural resources and reduce inequality.
13. Incorporate HIV and AIDS as well as gender considerations in all climate change interventions including adaptation, mitigation, capacity building and technology development and transfer.

The Government of Malawi through their Vision 2020 and the Malawi Constitution 1995 has put in place a series of legislative sectoral frameworks and strategies to integrate environment and climate change management in socio-economic development activities. These include:

- i. The Malawi Growth Development Strategies;
- ii. United Nations Development Assistance Framework for Malawi (UNDAF);
- iii. National Strategy for Sustainable Development 2004;
- iv. National Environmental Policy (NEP) 2004;
- v. National Forestry Policy of Malawi, 1996;
- vi. National Land Resource Management Policy and Strategies (2000);
- vii. Wildlife Policy (2000);
- viii. Malawi Irrigation Policy and Development Strategy (2000);
- ix. National Fisheries and Aquaculture Policy (2001);
- x. National Land Policy (2002);
- xi. National Environmental Action Plan 2002;
- xii. National Climate Change Investment Plan (2013);
- xiii. National HIV and AIDS Policy, 2003;
- xiv. Malawi Energy Policy (2003);
- xv. National Land Use Planning and Management Policy, 2005;
- xvi. Food Security Policy (2006);
- xvii. National Water Policy (2005);
- xviii. Mines and Minerals Policy (2013);
- xix. National Transport Policy (2015);
- xx. National Construction Industry Policy (2015);
- xxi. Water Resources Act (2013);
- xxii. Mines and Minerals Act (1981);
- xxiii. Disaster Preparedness and Relief Act (DPRA) (1991);
- xxiv. Waterworks Act (1995);
- xxv. Environment Management Act (1996);

- xxvi. Forestry Act (1997);
- xxvii. Fisheries Conservation and Management Act (1997);
- xxviii. Road Traffic Act (1997);
- xxix. Local Government Act (1998);
- xxx. Energy Regulation Act (2004);
- xxxi. National Parks and Wildlife Act (2004),
- xxxii. Gender Equality Act (2013).

**Table 1: National/sectoral policies, strategies and plans relevant for adaptation**

	Titl e/T yp e	Y e a r	Objective
C l i m a t e	Mal awi Nat ion al Cli ma te Ch ang e Poli cy	2 0 1 6	The policy aims to effectively manage the impacts of climate change through interventions that build and sustain the social and ecological resilience of all Malawians; contribute towards the stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous human-induced interference with the climate system within a timeframe that enables social, economic and environmental development to proceed in a sustainable manner; Integrate climate change into planning, development, coordination and monitoring of key relevant sectors in a gender sensitive manner; and Integrate cross-cutting issues into climate change management through an appropriate institutional framework.
	Sec on d Nat ion al Co m mu nic atio n	2 0 1 1	The objectives include; strengthening the technical and institutional capacities of various public and private sector organizations to acquire skills and competencies in mainstreaming climate change issues into their respective sectoral programmes, policies and strategies, contributing to global efforts in better understanding the various sources and sinks of greenhouse gases, potential impacts of climate change and effective response measures to achieve the ultimate goal of UNFCCC of stabilizing greenhouse gas concentrations in the atmosphere to a level that would prevent dangerous anthropogenic interference with the climate system, proposing climate change projects aimed at finding solutions to climate change problems that communities can adapt and/or use to mitigate climate change, enhancing general awareness on climate change and climate change related issues, strengthening dialogue, information exchange, networking and cooperation among various stakeholders in the public and private sector organizations, including NGOs, and the university, involved in climate change studies in accordance with Article 6 of the UNFCCC.
	NA PA	2 0 1 6	The NAPA seeks to increase the adaptive capacities of vulnerable communities to adverse effects of climate change. Five urgent activities were rated high and combined into project clusters. These include: Improving community resilience to climate change through the development of sustainable rural livelihoods; restoring forest in Upper, Middle and Lower Shire Valleys catchments to reduce siltation and the associated water flow problems; improving agricultural production under erratic rains and changing climatic conditions; improving Malawi's preparedness to cope with droughts and floods; and improving climate monitoring to enhance Malawi's early warning capability and decision making and sustainable utilization of Lake Malawi and lakeshore areas resources.

	<b>Titl e/T yp e</b>	<b>Y e a r</b>	<b>Objective</b>
	Nat ion al Cli ma te Ch ang e Inv est me nt Pla n	2 0 1 3 - 2 0 1 8	The primary objective is to increase climate change investments in Malawi.
	Nat ion al Env iro nm ent an d Cli ma te Ch ang e Ma nag em ent	2 0 1 2 - 2 0 1 6	To inform, educate and communicate the public and ensure popular participation in the management of environment, natural resources and climate change. This will be achieved through the following specific objectives: increase public awareness, knowledge, understanding and participation on environment and climate change among various target groups, specifically rural communities and disadvantaged groups including women and youth, promote popular participation in the implementation of the environment and climate change ENRM and CC, enhance institutional and individual capacity for communication in environment and climate change, foster collaboration, coordination and networking of NECC communication interventions, enhance monitoring and evaluation of NECC Strategy
<b>E n v i r o n m e n t</b>	Nat ion al For est ry Poli cy of Mal awi	1 9 9 6	The objective of the policy is to improve the quality of life of the Malawi population, particularly rural smallholders, and provide a stable local economy in order to reduce the degenerative impact of development on the environment that often accompanies poverty. The forest policy provides an enabling environment for making forests and tree resources available to communities on a sustainable basis thereby promoting rural development.

	<b>Titl e/T yp e</b>	<b>Y e a r</b>	<b>Objective</b>
	Nat ion al Env iro nm ent al Poli cy (NE P)	2 0 0 4	To minimize the adverse impact of climate change and variability to reduce air pollution and greenhouse. However, the guiding principles and the strategies for achieving this objective suggests that the policy orientation is focused on mitigation and not adaptation.
	Nat ion al Env iro nm ent al Acti on Pla n	2 0 0 2	To document and analyse all environmental issues and measures to alleviate them, to promote sustainable use of natural resources in Malawi, to develop an environmental protection and management plan
	Nat ion al Bio div ersi ty and Acti on Pla n		Outlines strategies for species monitoring and recovery, conservation of traditional agro-biodiversity resources, conservation of aquatic and mountain biodiversity that provides local communities with significant livelihood options for food security, medicine and other uses.
<b>A g r i c u l t u r e</b>	Mal awi Irri gati on Poli cy and De vel op me nt Str ate gy	2 0 0 0	Increase land under sustainable irrigation farming, Facilitate crop diversification and intensification, Create an enabling environment for irrigated agriculture, Optimize investment in irrigation development taking into account climate change, Enhance capacity for irrigated agriculture, Promote a business culture in the small-scale irrigated agriculture sector

	<b>Titl e/T yp e</b>	<b>Y e a r</b>	<b>Objective</b>
	Food Sec urit y Poli cy	2006	Increasing agricultural productivity as well as diversity and sustainable agricultural growth and development, Guarantee that all Malawians have at all times physical and economic access to sufficient nutritious food required to lead a healthy and active life
	Dra ft Nat ion al Agr icul tur al Poli cy	Draft	The draft policy seeks to promote adaptation and mitigation technologies and interventions to minimize future adverse effects of climate change on agricultural production and rural livelihoods. Some of the proposed actions will support climate change adaptation and mitigation in agriculture.
<b>E n e r g y</b>	Mal awi Ene rgy Poli cy	2013	To improve the security and reliability of energy supply; Increase access to affordable and modern technologies; Stimulate economic development and rural transformation for poverty reduction; Improve the energy sector and governance; and Mitigate environmental, safety and health impacts of energy production and utilization.
<b>H e a l t h</b>	Nat ion al HIV and AIDS S Poli cy	2013	To improve the provision and delivery of prevention, treatment, care and support services for PLWAs, to reduce individual and societal vulnerability to HIV/AIDS by creating an enabling environment, to strengthen the multi-sectoral and multi-disciplinary institutional framework for coordination and implementation of HIV/AIDS programs in the country
<b>E c o n o m i c</b>	Wil dlif e Poli cy	2000	The goal of this policy is to ensure proper conservation and management of wildlife resources. The policy also increases sustainable utilization and equitable access to the resources and fair sharing of the benefits from the resources for both present and future generations of Malawi.

Title/Type	Year	Objective
United Nations Development Assistance Framework for Malawi (UNDAF);	2019-2023	It incorporates the goals and principles that underpin Agenda 2030 and the 17 SDGs that lie at its heart. It further guides the UN Agency programs ensuring UN wide coherence and represents a strong collaborative link with the Government of Malawi's development aimsexpressed in Malawi Growth and Development Strategy MGDS III
The Malawi Growth Development Strategy III	2017-2022	Improved weather and climate monitoring for early warning, preparedness and timely response. The strategy will promote effective and efficient generation, analysis and utilization of reliable, responsive, high quality, up to date and timely climate services ; and Improving spatial (by area and agro-ecological zone) weather and climate monitoring and prediction systems through automation and other IT advances.
National Strategy for Sustainable Development	2004	Seeks to reduce damage to property and loss of life caused by weather and climate natural disasters and contributes to sustainable industrial production or meets the UNFCCC obligations

	<b>Titl e/T yp e</b>	<b>Y e a r</b>	<b>Objective</b>
	Mi nes and Mi ner als Poli cy	2 0 1 3	To attract investment in the mining sector, to formalize and improve small scale mining, to create employment opportunities and economic diversification, to incorporate social dimensions and empower women in mining, to promote measures to protect the environment, as well as increase foreign exchange earnings.
<b>L a n d</b>	Nat ion al Land Res our ce Ma nag em ent Poli cy and Str ate gie s	2 0 0 0	The policy seeks to: improve and sustain the productivity of land for agricultural and other uses through use of sound technologies to conserve soil and water resources, soil fertility improvements and respecting livestock stocking capacities of land; Promote rehabilitation of degraded lands for both agriculture and other uses with the aim of sustaining the usability of these lands; and Control the dangers of surface run-off water such as soil erosion and all its associated causative factors.
	Nat ion al Land Poli cy	2 0 0 2	The goal of the policy is to ensure tenure security and equitable access to land by all citizens of Malawi in order to facilitate ecologically balanced use of land resources. The policy deals with issues of access to land, tenure security and sustainable environmental management. The key focus of the policy is on issues of land ownership, land use, land registration, national physical development plans, and establishing legal framework for land use.
	Nat ion al Land Use Pla nni ng and Ma nag em ent Poli cy	2 0 0 5	To secure social and economic development through optimum and ecologically balanced use of land and land based resources



	<b>Titl e/T yp e</b>	<b>Y e a r</b>	<b>Objective</b>
<b>W a t e r</b>	Nat ion al Wa ter Poli cy	2 0 0 5	The objectives of the policy are to: Promote sustainable and integrated water resource management and development to make water readily available and equitably accessible by all Malawians; Ensure water of acceptable quality for all needs; Provide water supply and sanitation services to all at affordable cost; Promote efficient and effective utilization, conservation and protection of water resources for sustainable agriculture and irrigation, fisheries, navigation, eco-tourism, forestry, hydropower and disaster management and environmental protection.
<b>E d u c a t i o n</b>	Mal awi Str ate gy on Cli ma te Ch ang e Lea rni ng	2 0 1 3	The objective of the Strategy is to strengthen human resources and skills development for the advancement of green, low emission and climate resilient development
<b>S o c i o / C u l t u r a l</b>	Ge nd er Eq uali ty Act	2 0 1 3	The act seeks to promote gender equality, equal integration, and influence, and empowerment, dignity in all functions of society, to prohibit and provide redress for sex discrimination, harmful practices and sexual harassment, to provide public awareness on promotion of gender equality.
	Nat ion al Ge nd er Poli cy	2 0 0 0	To strengthen gender mainstreaming and women empowerment at all levels in order to facilitate attainment of gender equality and equity in Malawi, to reduce gender inequalities and enhance participation of women, men, girls and boys in socio-economic development processes.

	<b>Title/Type</b>	<b>Year</b>	<b>Objective</b>
<b>F</b>	National Fisheries and Aquaculture Policy	2001	The policy provides clear guidelines for the development of the fisheries sector. The policy also stipulates roles and responsibilities of public and private sector and civil society organisations in the development of the fisheries industry
<b>i</b>	Fisheries Conservation and Management Act	1997	The act provides for the regulation, conservation and management of the fisheries of Malawi.

**Table 2: General environmental laws and their policy relevance for adaptation**

	<b>Title/Type</b>	<b>Year</b>	<b>Objective</b>
<b>E</b>	Environment Management Act	2001	This Act concerns the conservation and management of the environment in Malawi and prescribes environmental standards. It also concerns the conservation and management of biological (genetic) resources. The Act consists of 119 sections divided into 17 Parts, covering main areas of environmental concern, some of the areas covered are: The Environment Protection Authority; Environmental Planning; Environmental and social impact assessment, audits and monitoring; Environmental standards; Management of the Environment and Natural Resources; Pollution Control; The Environment Fund. Climate Change is addressed in part VIII concerning management of the environment and natural resources.
<b>n</b>	Energy Regulation Act	2004	This Act establishes the Energy Regulatory Authority to regulate the energy sector, defines its functions and powers, and provide for licensing of energy undertakings. Members of the Authority should have adequate knowledge related renewable energy. The Authority shall notably promote energy efficiency and the exploitation of renewable resources. The Authority is charged in art. 9.2.(i) to promote the exploitation of renewable energy resources, and (e) to promote energy efficiency and energy savings.

Title/ Type	Year	Objective
<b>Rural Electrification Act</b>	2004	This act makes provision for the promotion, funding, management and regulation of rural electrification. Specific, more favourable rules are laid out for renewable energy resources, including in terms of finance.
<b>Disaster Preparedness and Relief Act (Cap. 33:05)</b>	1992	This Act makes provision for the prevention of disasters in Malawi and for disaster preparedness and disaster mitigation. There shall be a Commissioner for Disaster Preparedness and Relief who shall, among other things: supervise the establishment of civil protection organizations and civil protection areas and control and direct personnel, materials and services for the purposes of this Act. The Act provides for the establishment of the National Disaster Preparedness and Relief Committee of Malawi.
<b>Wildlife Policy</b>	2000	The policy embraces the following objectives: Ensure adequate protection of representative ecosystems and their biological diversity by promoting and adopting appropriate land management practices that are in line with sustainable utilization considerations; Create public awareness and understanding on the need for wildlife conservation and management and also their relationship to other land use issues; Create a conducive environment for wildlife-based enterprises; Facilitate development of necessary legislation and enforcement mechanisms in order to eliminate illegal wildlife use; and Develop a cost effective legal, administrative and institutional framework for managing wildlife resources without compromising the resources' ecological attributes.

## Institutional arrangements for climate change adaptation

Malawi has several existing institutional structures to support climate change mitigation and adaptation policies (Malawi & Environmental Affairs Department, 2016). The Malawi Constitution explicitly calls for environmental support, and the Malawi government has addressed climate change at the national, ministerial and departmental level (Amadu et al., 2020). Coordination between government agencies is a significant challenge for implementing the climate change policy components since climate change is a cross-cutting issue affecting most sectors, such as agriculture, human health, energy, fisheries, wildlife, water, forestry and gender (Hughes et al., 2019). Table 3 presents the evolution of the climate change agenda.

Table 3. Evolution of the national climate change agenda in Malawi: policies, programmes, institutions and linkage to political leadership [source]

	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018
<b>Political milestones</b>				President passed away (Bingu wa Mutharika)	Interim election (Joyce Banda)					
<b>Ministry(ies) with responsibility for climate change</b>				Ministry of Development Planning and Cooperation (Department of Economic Planning and Development)	Ministry of Environment and Climate Change Management			Ministry of Natural Resources, Energy and Mining (Environmental Affairs Department and Department of Climate Change and Meteorological Services)		
<b>Date of adoption of key policy documents</b>				National Climate Change and Environment Communication Strategy 2012-16	National Climate Change Investment Plan 2013-18			National Climate Change Management Policy		
<b>Major programmes</b>				National Climate Change Programme (under Africa Adaptation Programme 2008-12)						

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## Vision, Goals and Objectives of the NAP

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### Vision for Adaptation for the Country

The vision is “a country that is resilient to adverse socio-economic impacts of climatic change”.

### Goals and Objectives of the NAP

The main goal and objectives of the Malawi NAP, in line with the country's National Climate Change Management Policy, are:

**Goal** - create an enabling policy and legal framework for a pragmatic, coordinated and harmonized approach to climate change management

#### **Objectives**

- Effectively manage the impacts of climate change through interventions that build and sustain the social and ecological resilience of all Malawians;
- Integrate climate change into planning, development, coordination and monitoring of key relevant sectors in a gender sensitive manner; and
- Integrate cross-cutting issues into climate change management through an appropriate institutional framework

## Climate Change Adaptation Assessment

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## National Adaptation Priorities

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## **Implementation Strategy for the NAP**

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## **Alignment with the GCF Country Programme**

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## **Mobilization of other Sources of Finance**

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## **Monitoring and evaluation of adaptation actions and process**

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## **Reporting**

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## **Further development of the programme to support future NAPs**

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## **Annex I: NAP Outputs**

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## **Annex 2: Country Profile**

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## **Annex 3: Data and information system to support the NAP**

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## References

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