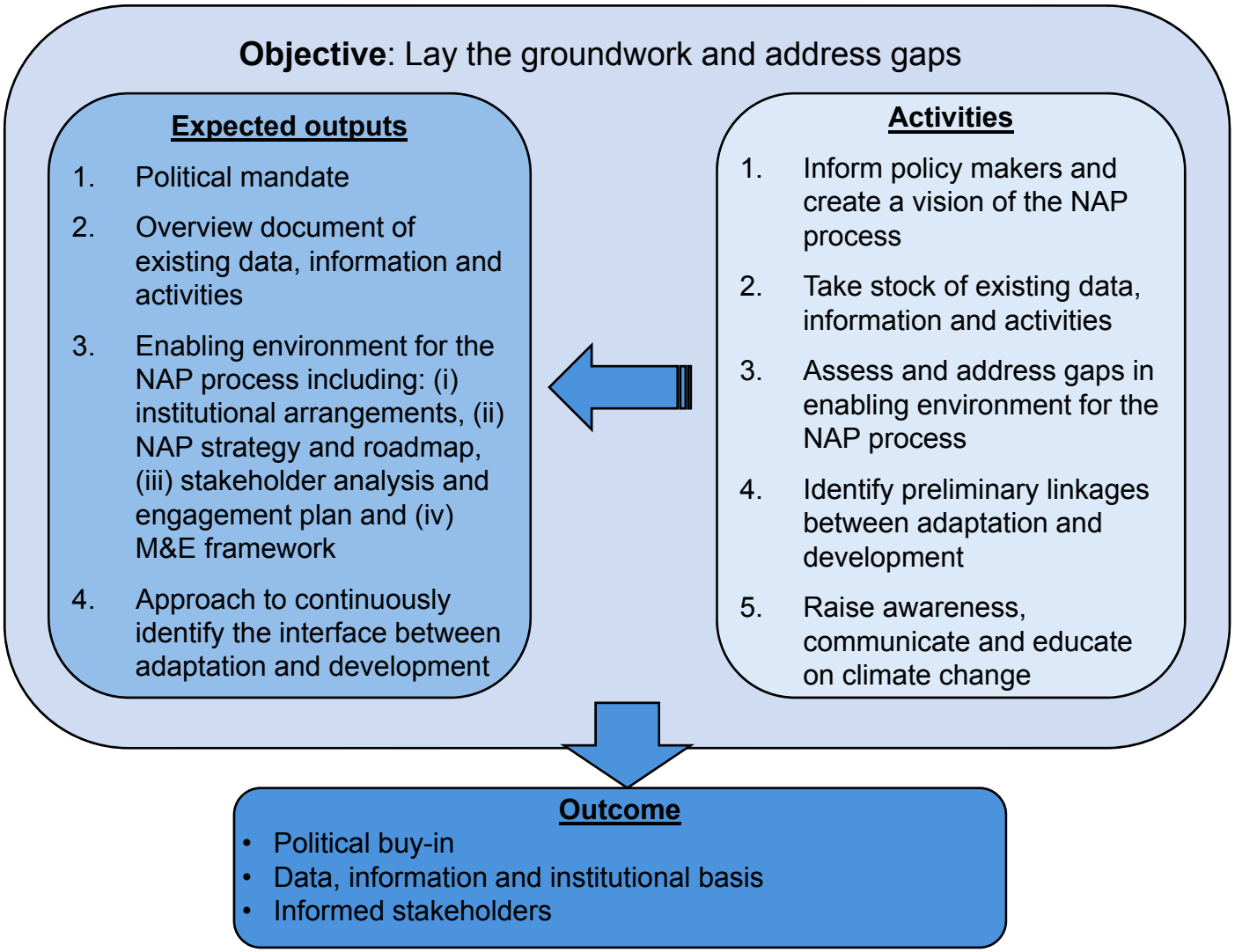
Introduction to the four elements of the technical guidelines

ELEMENT A:

LAY THE GROUNDWORK AND ADDRESS GAPS

Element A: Lay the groundwork and address gaps



Vision and mandate for the NAP process

Defining the national mandate

- ✓An act, directive, executive order, or policy issued by the national government to guide action on adaptation;
- ✓Establishes clear responsibilities for government agencies (*lead agency*, *coordination, reporting, etc.*) and all other stakeholders;
- ✓Specifies key actions, milestones and outputs (e.g. assessments, plans, implementation, M&E), *frequency,* and *follow-up actions.*

Some important considerations

- ✓Creating a national mandate could take a long time, thus other activities may be initiated to lay the groundwork;
- ✓Other countries may already have policies on climate change or adaptation that could effectively drive the NAP process, in which case no new mandate is needed.

Stocktaking

Take stock of and synthesize:

Available climate analyses	Available vulnerability and climate impact analyses	Past and ongoing adaptation activities	Gaps and barriers for adaptation planning and implementation
• Current climate • Future climate scenarios	• National or local • Sector-specific	• Policies • Programmes • Projects • Capacity-building activities	• Strengths and weaknesses regarding capacity, data, information, and resources • Barriers for planning and implementation

- How have these analyses and activities been developed?
- What support and funding has been received?
- What have been the timelines involved?
- What kind of data and information has been collected?
- What kind of arrangements and capacities have they produced?
- What was their overall effectiveness?

The outcome of the stocktaking will provide an indication of the status of the country's enabling environment for adaptation and could help to identify key contributors for the NAP process

Linkages NAP process - development

An important component of the process is to identify aspects of current development efforts that are most at risk from climate change, and to climate-proof those aspects. Potential activities include:

- Reviewing development needs, objectives and investments in the light of potential climate change risks and/or opportunities including synergies and co-benefits
- Considering how to adjust certain development objectives taking into account climate change risks and vulnerabilities
- Engaging stakeholders of all levels of planning in the NAP process and develop an understanding of adaptation requirements

Types of planning processes and development plans may include:

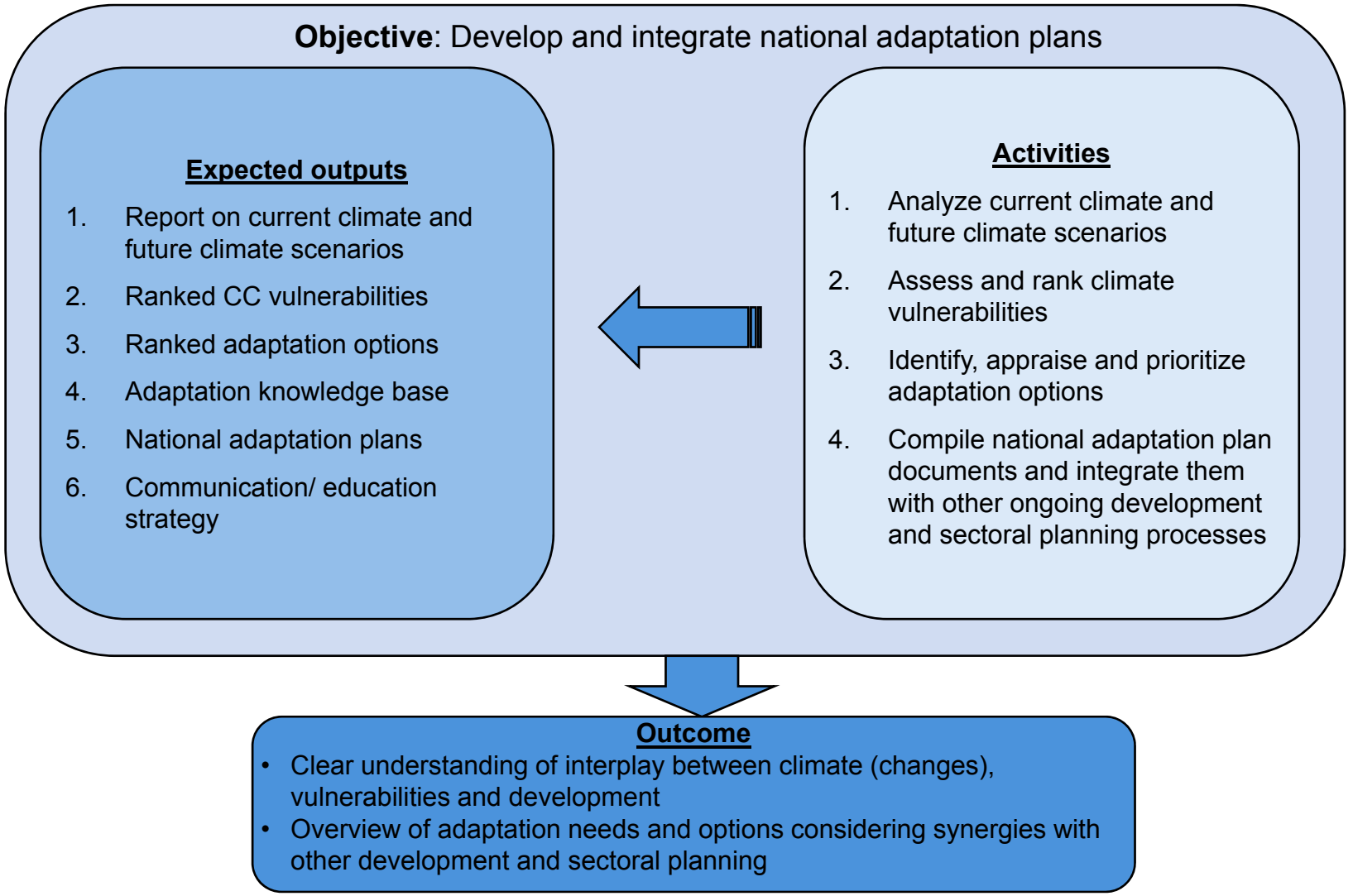
- National development and/or economic strategies
- National policies on governance and local government
- National sectoral policies
- Disaster preparedness and risk reduction frameworks, policies and plans

(elaborated list in chapter A.4.A of the technical guidelines)

ELEMENT B:

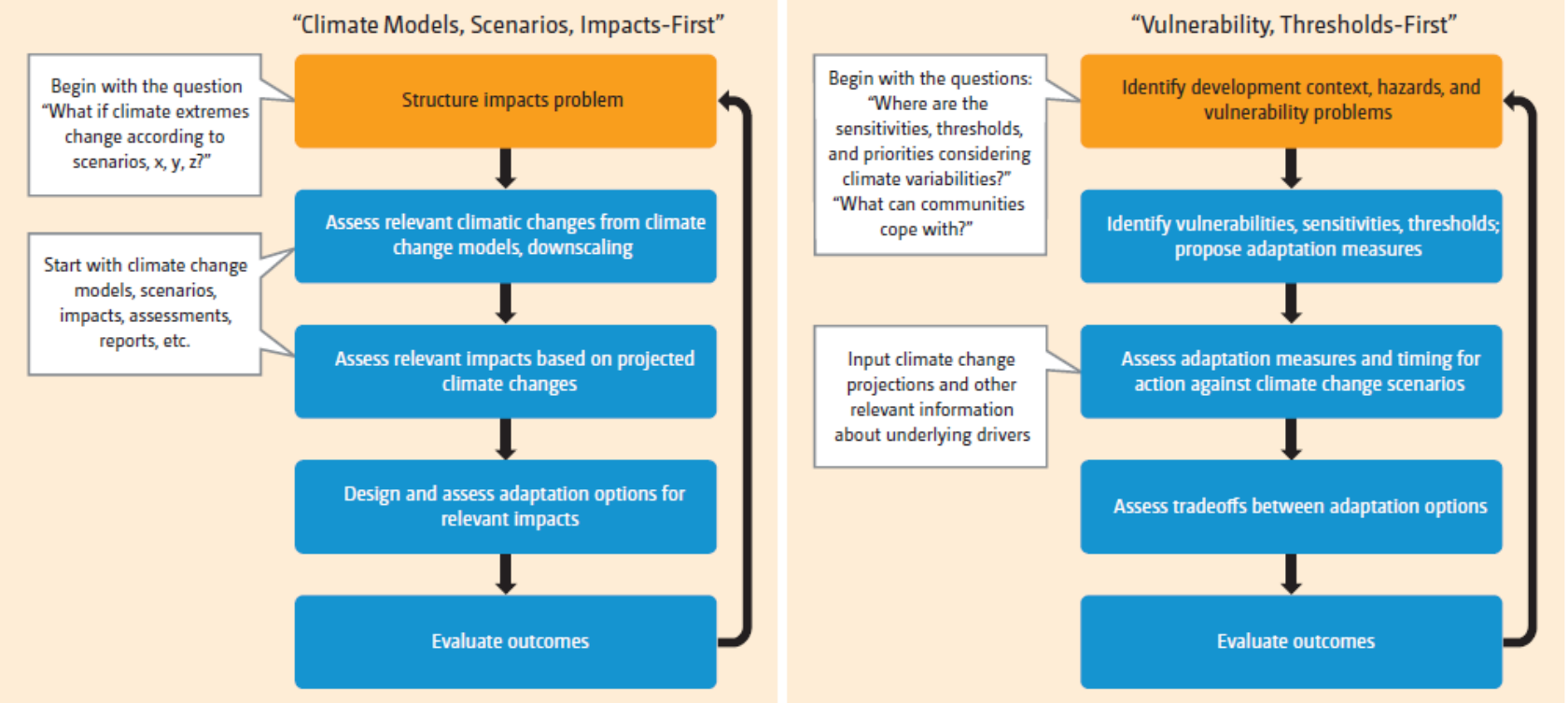
PREPARATORY ELEMENTS

Element B: Preparatory elements



Vulnerability & risk assessment

Chose the approach for the assessment, e.g. impacts first or vulnerability first:[1]



[1]Source: Lal PN et al. National systems for managing the risks from climate extremes and disasters. In: IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. 2012.

Methods for assessing vulnerability to climate change

Approaches for assessing vulnerability will vary depending on such factors as:

- Major climate hazards and risks for the country
- Focus level identified in the framework and strategy for the NAP process (whether to take a national assessment approach, or whether to address issues by sector or other subnational levels)
- The nature of existing knowledge on impacts, vulnerabilities and risks

A country will likely apply several vulnerability assessment approaches, including:

- *Hazards approach* – where hazards are closely linked to disaster risk management
- *Risk management approach* – taking into account measures to reduce risk
- *Vulnerability approach* - emphasis on interactions between climate and society
- *Resilience approach* – readjustment and flexibility in response to changing conditions
- *Ecosystem-based approaches for adaptation* - focus on adaptation activities that rely on goods and services provided by ecosystems
- *Expert-based approach* - focus on the ranking and prioritization of adaptation options through a qualitative assessment

Ranking of climate risks and vulnerabilities

Typical ranking methods

- Consultative processes e.g. group perceptions/questionnaires method
- Nominal group method
- Criteria weighting e.g. Multiple Criteria Analysis, Cost-effectiveness analysis

Common criteria for ranking climate risks include:

- Nature of impacts (loss of live, diseases, constraints to economic development, etc.)
- Order of magnitude of the potential climate change impact
- Probability, likelihood and level of confidence
- Reversibility
- Urgency of action
- Policy relevance
- Connectivity or cross-cutting risks across sectors or regions
- Importance of systems at risk on national development
- Biophysical sensitivity to the effects of climate change

Compiling plan documents

Purpose: to bring all the work into national documents that would be used for various purposes

- Documenting progress, findings and outputs
- Enabling review, monitoring and evaluation
- Providing information to different stakeholders for further action

Typical components of the national adaptation plans

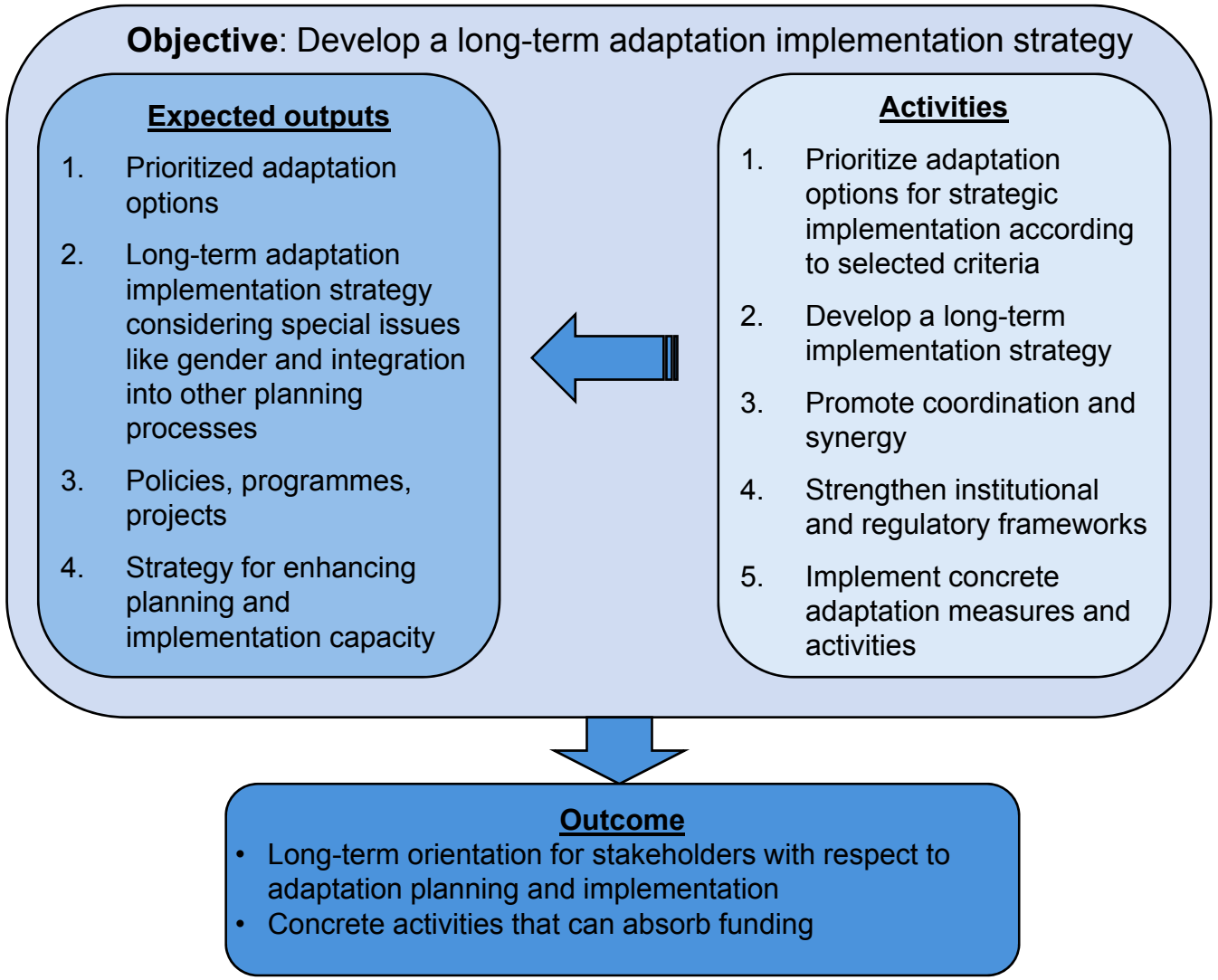
- A summary of the NAP process;
- Discussion of key climate vulnerabilities in the context of main development priorities;
- A list of prioritized adaptation strategies (policies, programmes, projects, etc);
- A plan for establishing indicators and monitoring for assessing the plan;
- A timeline for reassessing the plan and strategies as new information is gathered from ongoing assessments.

NB: In addition to the national adaptation plan documents, many outputs would be produced along the way, and released as appropriate.

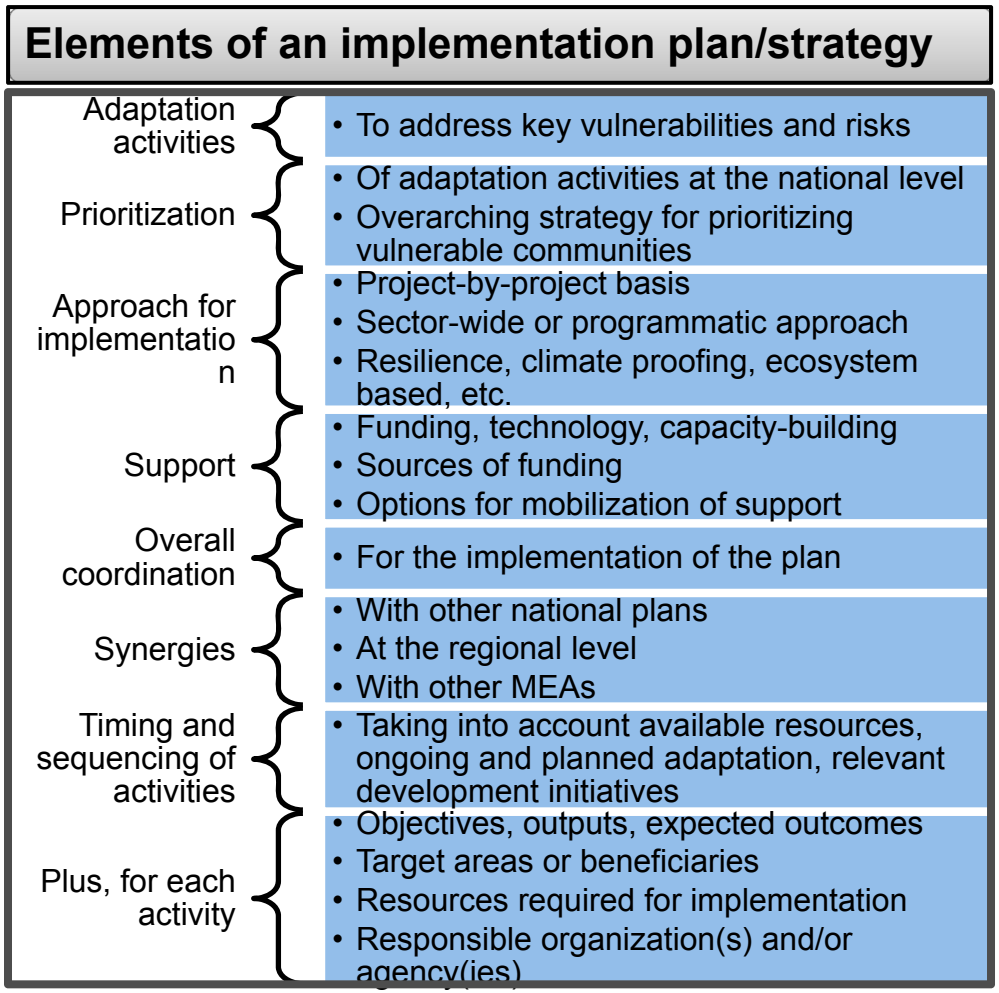
ELEMENT C:

IMPLEMENTATION STRATEGIES

Element C: Implementation strategies



Implementation plan/ strategy



Implementing concrete adaptation measures

An important component of the NAP process is addressing adaptation through various **policies, projects and programmes** depending on the challenges, needs and gaps. Such policies, projects and programmes will vary in form and character across scales, and will depend on prevailing circumstances.

Goals that policies, programmes and projects would seek to pursue:

- ✓Attainment and safeguarding of food security;
- ✓Attainment and safeguarding of water security and sanitation;
- ✓Protection of life and property;
- ✓Protection and enhancement of ecosystems;
- ✓Support and enhancement of human health and safety;
- ✓Climate proofing major components of the economy;
- ✓Protection and preservation of cultural values and systems.

Gender considerations

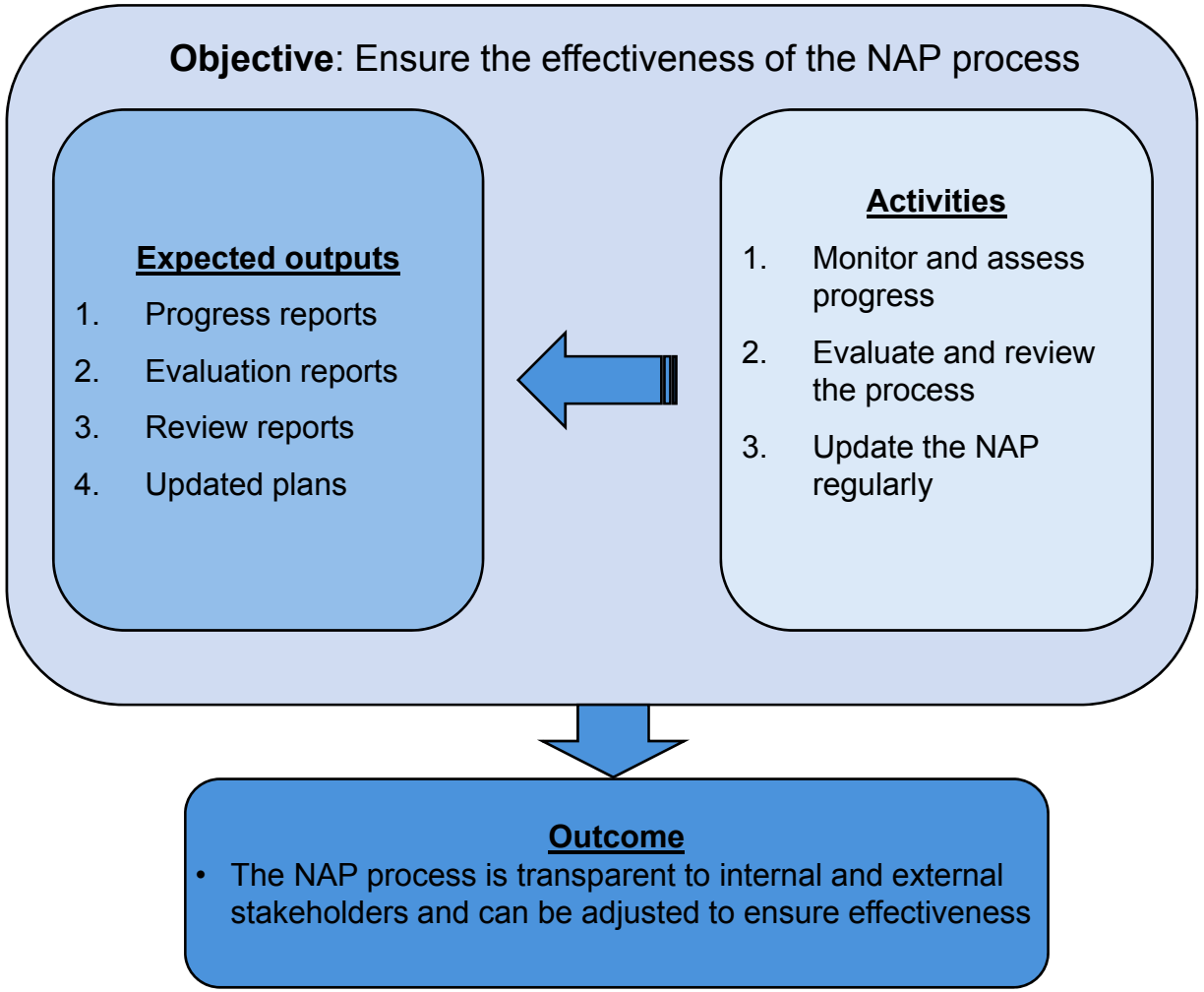
How to integrate gender considerations into the NAP process?

- Assess available information on vulnerable groups including women
- Harness the potential of women as agents of change within their communities
- Tailor NAP activities based on an understanding of gender dynamics
- Ensure the participation of the most vulnerable groups, including women, in the NAP process
- Undertake awareness raising so that stakeholders understand the gender dynamics
- Use sex-disaggregated data in vulnerability and adaptation assessments
- Monitor and report on the integration of gender considerations into the NAP process
- Evaluate the integration of these considerations into the NAP process, revise if necessary

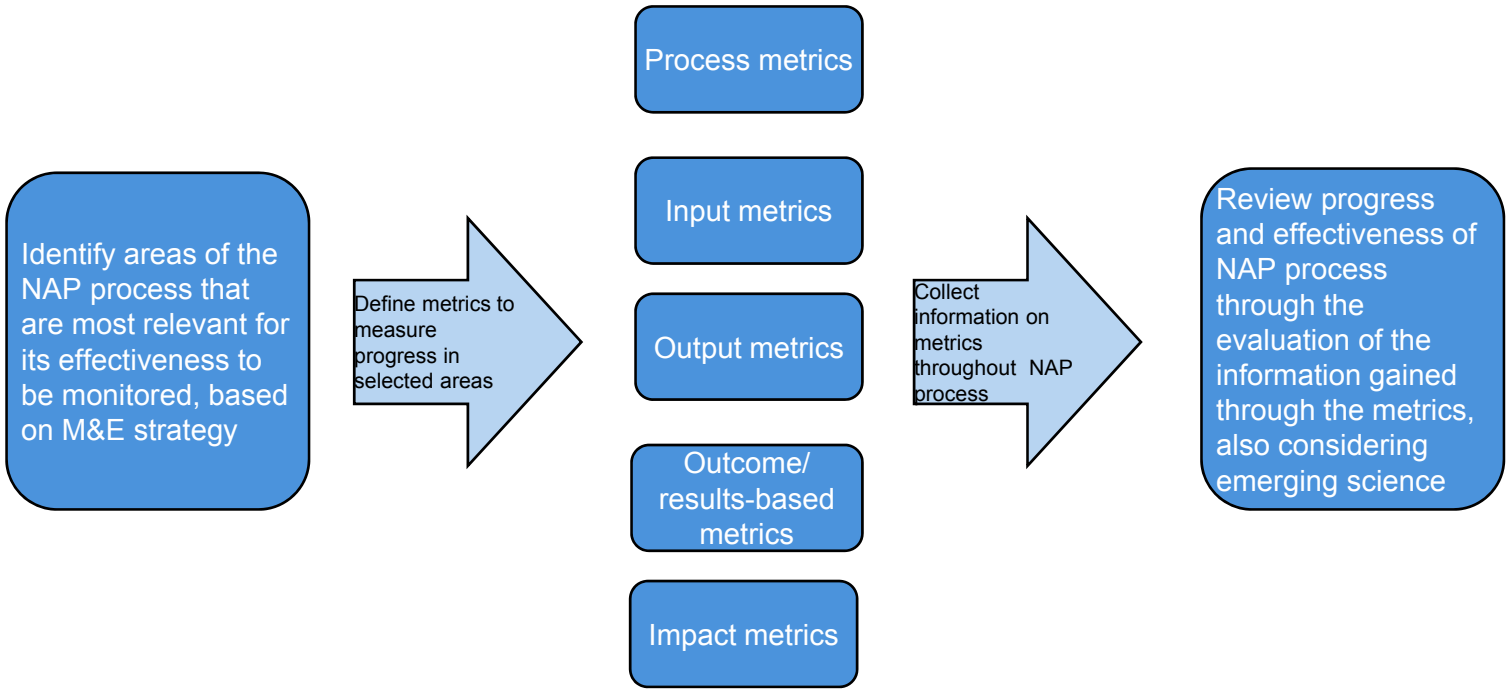
ELEMENT D:

REPORTING, MONITORING AND REVIEW

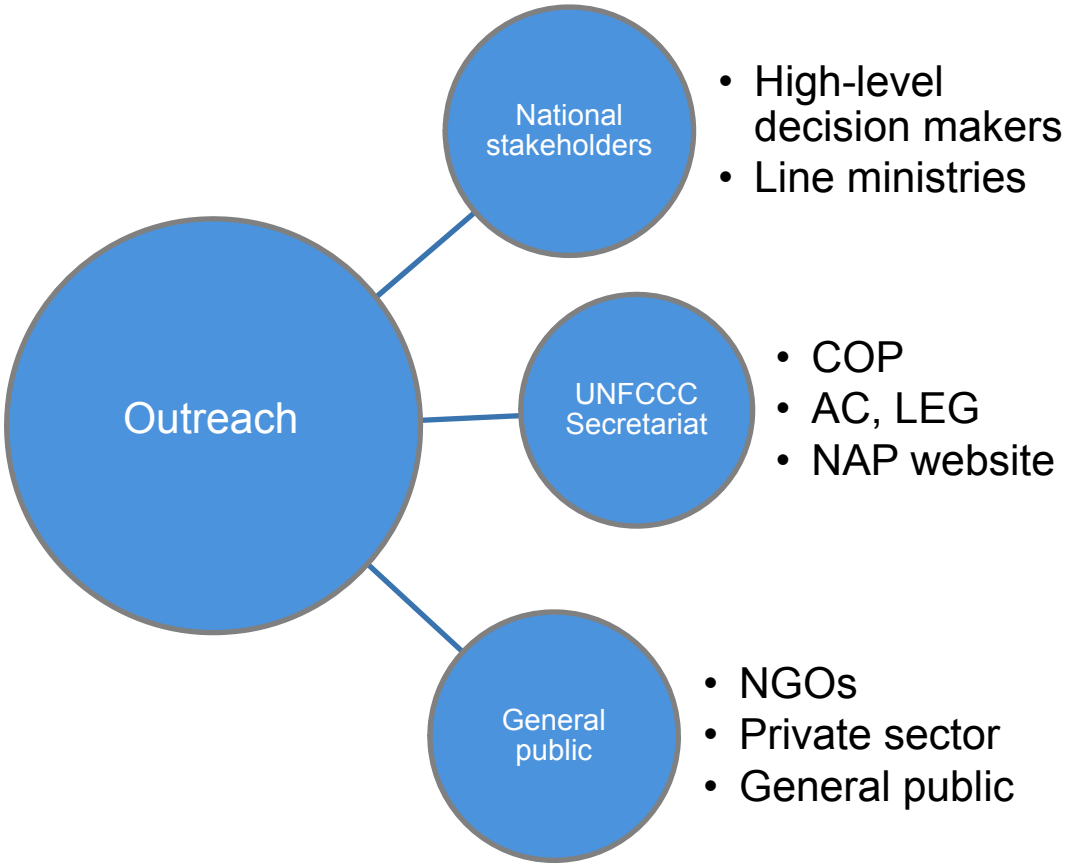
Element D: Reporting, monitoring and review



Monitoring, evaluation and review



Outreach

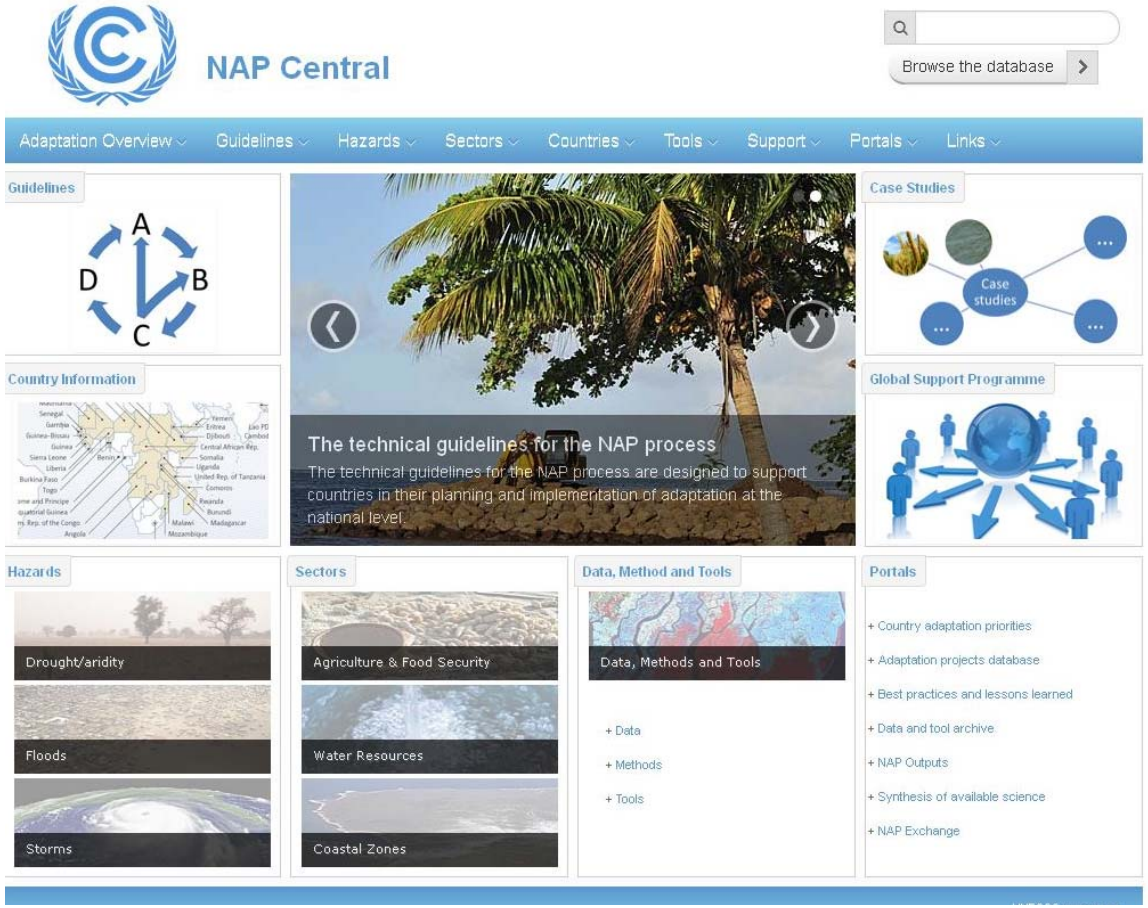

Outreach
National stakeholders
• High-level decision makers
• Line ministries
UNFCCC Secretariat
• COP
• AC, LEG
• NAP website
General public
• NGOs
• Private sector
• General public

LEG's recommendations on next steps

What does it mean to have embarked on the NAP process?

a) Declaring a coordinating or spearheading mechanism for the NAP process
b) Scoping of required activities to drive the NAP process (mandates, institutions, relevant stakeholders, resources), recognizing ongoing NAP-relevant activities
c) Clustering the NAP process into workstreams with respective leadership
d) Arrangements for support
e) Compilation and communication of a roadmap or strategy, including milestones, for the initial phase of the national process

- Through a submission or other means of communication a country could communicate the initiation of its NAP process and provide contact details for partners that are interested in supporting the process

Resources

- The NAP Central – a common information system for the NAP process available at http://unfccc.int/NAP