

## Module 3: Designing implementation strategies

# 3.1. Emerging trends and approaches for implementation

LEG training workshops for 2012-2013  
- Pacific LDCs workshop



## In this module

Where are we?

**Module 1:** Setting the stage

**Module 2:** Mainstreaming adaptation into development

**Module 3:** Designing implementation strategies

**3.1. Emerging trends and approaches**

3.2. National adaptation plans

3.3. Potential contribution of NAPAs to NAP process

3.4. Exploring synergy with other programmes at the regional level

**Module 4:** Accessing financial resources

**Module 5:** Assessment of the NAPA

**Module 6:** Tracking progress, M&E

**Module 7:** Best practices and lessons learned

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**CASE STUDIES + REGIONAL INPUTS**

### Learning points:

- Insight in emerging trends and approaches.

### Guiding questions:

- What would be the emerging trends and approaches in developing implementation strategies for Pacific region?



## Why an implementation strategy?

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a) Sequencing of priorities for implementation:

- Selecting among NAPA priorities;
- Objectives, expected outcomes, costs, required capacity;

b) Identification of the preferred approach to NAPA implementation:

- Project, sector-wide or programmatic approaches;
- Approaches to multiple sources of funding;

c) Scope and focus;

- Integrating gender, and considerations of vulnerable communities;
- Opportunities for scaling up adaptation activities;

d) Developing coordination and partnerships:

- Overall coordination - defining and clarifying roles and responsibilities;
- Strategy for mobilizing support from donors and others (technical, financial, etc.);
- Potential synergies;

e) Identification of data and information needs:

- Information for developing project proposal to access funding, including baseline and co-financing information requirements.



## Emerging approaches and trends

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a) **From projects to programmes – programmatic approach:**

- Original focus for NAPAs had been project based given available funding;
- Growing LDCF resources have opened a window for programmes;

b) **Integration of DRR and CCA:**

- Joint National Action Plan for disaster risk reduction (DRR) and climate change adaptation (CCA) - (JNAP);

c) **Access to multiple financing sources:**

- Combination of LDCF resources with other GEF funds;
- Combination of LDCF resources with other programmes, e.g. AAP, PPCR;

d) **Strengthening integration of the factors of vulnerability:**

- To make the NAPAs to remain in focus, there is a need to continually strengthen projects to address core vulnerabilities;
- Projects need to carry a gender sensitive approach;

e) **Building structures towards medium- and longterm adaptation:**

- LDCs are entering into a phase of addressing medium- and longterm adaptation;
- NAPA projects need to contribute towards laying the groundwork to the extent possible.



## Deploying a programmatic approach

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### a) Defining a programme

- [GEF] - A longterm and strategic arrangement of individual yet interlinked projects that aim at achieving large scale impacts on the global environment;

### b) Objectives of a programme under the LDCF

- [GEF] - To provide long-term arrangements of individual but interlinked projects aimed at achieving LDCF objectives, taking advantage of synergies and scale in terms of achieving results.

### c) Options of programmes for the NAPA:

- Large programmes for key sectors in the NAPA;
- Programmes by region (e.g. shared river basins, in the Pacific);
- Programmes by sub-region/community within a country, to develop an integrated approach (e.g. the Lower Shire Valley in Malawi, the Nepal ecosystem-based integrated approach).



## Deploying a programmatic approach

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### Main features of a programme

- a) Underlying strategic vision to drive the programme;
- b) A focus on addressing specific objectives in a coordinated manner and utilizing resources more effectively;
- c) Dedicated institutional arrangements - composed of capable steering, management and technical support with strong government ownership;
- d) A broader scope than a project, with relevant overarching objectives, results and indicators;
- e) Linkages between programme components that offer opportunities for synergy;
- f) Ability to take different forms – a programme can include only a single deliverable or many deliverables, or include a combination of ongoing support activities and new and additional ones.



## Deploying a programmatic approach

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### Steps for the development of a programmatic approach for the NAPA

- Step 1:** Selection of projects and the identification of linkages between projects based on the programmatic approach;
- Step 2:** Development of a coherent strategic framework based on the projects chosen and linkages identified;
- Step 3:** Estimation of programme timelines and cost estimates of programme and individual projects based on two scenarios
- Step 4:** Submission to the GEF of the programme proposal using the Programme Framework Document template (PFD) for review and approval;
- Step 5:** Submission to the GEF of the programme projects using the Project Identification Form (PIF) and then full project document templates.

All project proposals under the programme should be submitted for the review and approval of the Council no later than 6 months after approval of the PFD



## Integrating DRR and CCA

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### Joint national action plans on DRR and CCA

#### a) Rationale for JNAPs

- CCA and DRR carry a common focus of reducing vulnerability and enhancing the resilience of societies to weather and climate hazards;
- They both involve building resilience and adaptive capacity, mainstreaming policies and measures, and implementing actions;

#### b) Existing experiences:\*

- Tonga is a lead example of integration of DRR and CCA, having developed an integrated plan for Disaster Risk Management (DRM) and climate change (including the reduction of greenhouse gas emissions);
- Vanuatu decided to co-locate the National Disaster Management Office (NDMO) and Meteorological Services (where the Climate Change Unit is located). There is also a plan to have the National Advisory Committee on Climate Change take on responsibility for DRM.

\* *Source:* UNISDR, UNDP, 2012: Disaster Risk Reduction and Climate Change Adaptation in the Pacific: An Institutional and Policy Analysis. Suva, Fiji: UNISDR, UNDP, 76pp.





## Strengthening integrating factors of vulnerability

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### Factors of vulnerability

- a) Gender;
- b) Children;
- c) Low-lying coastal areas;
- d) Arid and semi-arid areas;
- e) Areas liable to droughts and desertification;
- f) Areas liable to floods;
- g) Fragile mountainous ecosystems;
- h) Landlocked LDCs.



## Strengthening integrating factors of vulnerability

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### Tailoring and implementing action based on factors of vulnerability

- a) Consulting a wide range of stakeholders, including men, women and youth groups in the design and implementation of adaptation activities, and ensuring that representatives from these groups are included in decision-making processes, through integrating targets for participation;
- b) Developing specific methodologies and guidelines for the unique systems;
- c) Integrating targets for benefit-sharing, access to technology and access to credit into adaptation, at all stages;
- d) Ensuring that vulnerability considerations are taken into account in capacity building, education, and training activities;
- e) Disseminating and utilizing lessons learned and good practices in gender mainstreaming and the inclusion of issues related to vulnerability, including from the NAPA process;
- f) Including indicators and criteria related to vulnerability integration in monitoring and evaluation of projects.



## Building structures towards medium- and longterm adaptation

<b>Lay the Groundwork &amp; Address Gaps in Adaptation Capacity</b>	Characterize information, capacity and development-climate vulnerabilities	a. Analyze enabling environment for adaptation and planning
		b. Synthesize available information on CC IVA
		c. Climate Risk Analysis: Current climate and scenario analysis
		d. Assess development needs and climate vulnerabilities
<b>NAP Preparatory elements</b>	Build capacity for CCA	a. Address adaptation and climate-development planning gaps and needs
		b. Motivate integration of CCA in development planning at multiple scales
		c. Design and ensure participatory stakeholder involvement
		d. Implement communication, awareness-raising and education
	Structure the medium- and long-term adaptation problem (identify adaptation needs)	a. Define CCA and development goals, objectives and constraints
		b. Assess current vulnerability and characterize potential future vulnerability and risk
		c. Prioritize vulnerabilities
		d. Define and categorize adaptation strategies/options at multiple scales
	Appraise medium- and long-term adaptation needs	a. Assess individual adaptation options including economics
		b. Decision analysis to generate ranked adaptation measures, where and when to be implemented



## Module 3: Designing implementation strategies

# 3.2 National Adaptation Plans

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3.3. Potential contribution of NAPAs to NAP process

3.4. Synergy

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**Module 7:** Best practices and lessons learned

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**CASE STUDIES + REGIONAL INPUTS**

### Learning points:

- Understanding the guiding principles for the NAP process;
- What it means for the LDCs.

### Guiding questions:

- How will the NAP process work in a country, and what are the components?



## Background to the NAPs

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### Established at the end of 2010

- As a process to enable LDCs to formulate and implement national adaptation plans (NAPs), building on NAPAs, as a means for:
  - a) Identifying medium- and long-term adaptation needs, and their integration into development planning;
  - b) Developing and implementing strategies and programmes to address those needs;
- Other developing country Parties to employ the modalities formulated to support the NAPs in the elaboration of their planning efforts.

### Objectives

- Reduce vulnerability
  - a) building adaptive capacity and resilience;
- Integrate adaptation into new and existing policies, programmes and activities,
  - a) In particular development planning processes and strategies,
  - b) All relevant sectors/levels.



## Progress so far

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- Initial guidelines adopted at the end of 2011
- The LEG is currently developing detailed technical guidelines
- The LEG is also compiling support needs for the NAP process
- Financial support is currently being discussed
- Expected COP decision at the end of this year



## How does the process work

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Country-driven

Roadmap with a menu approach

Iterative process with multiple periodic outputs

Allows for flexibility of the choice of approaches

LEG gives the LDCs technical guidance and advice

Medium- and long-term adaptation

Build on NAPA process

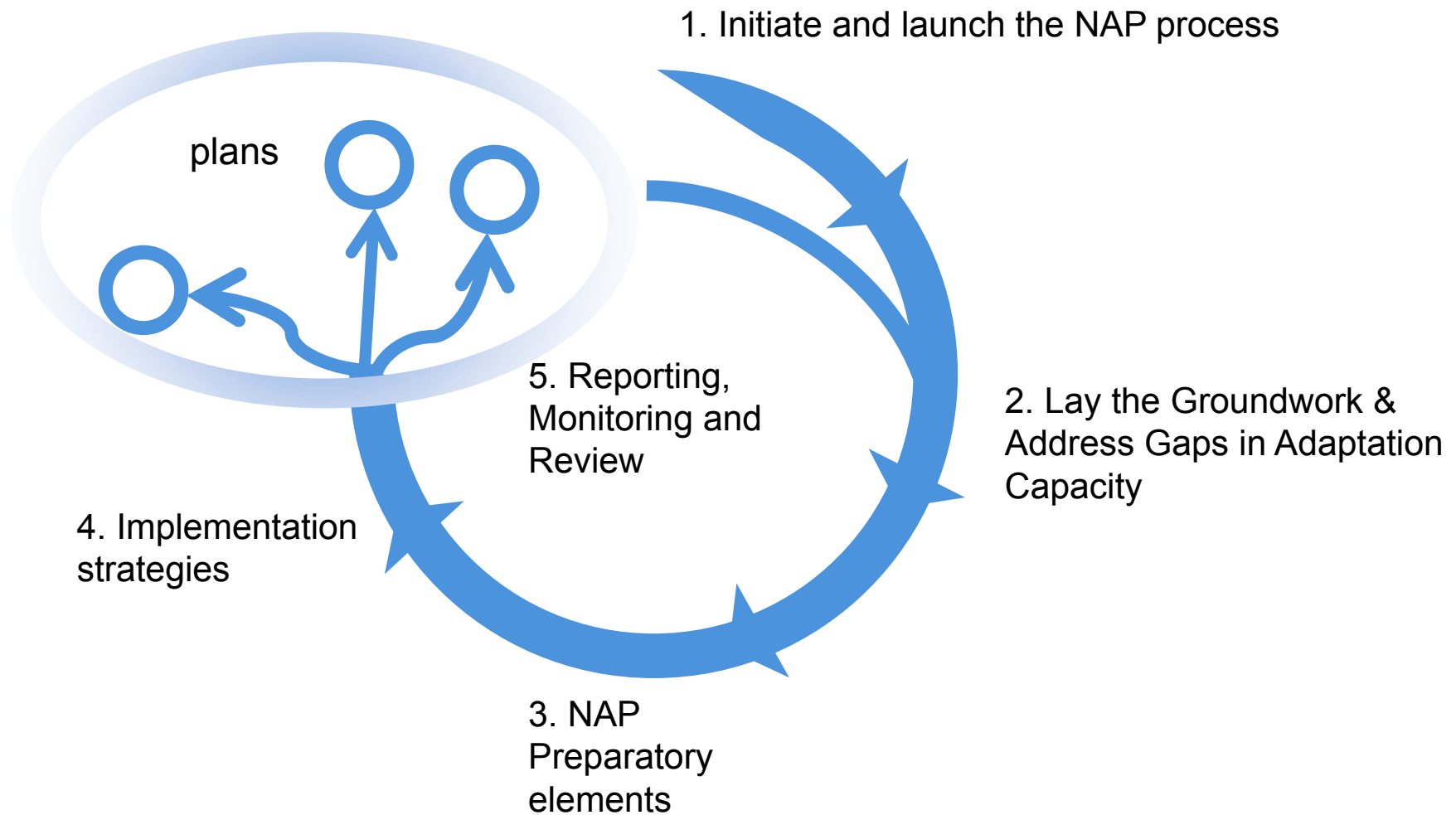
Key deliverables





## Steps in the NAP

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## 1. Initiate and launch the NAP process

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- What institutional arrangements (including mandates) are required at the national level to initiate and manage the NAP process?
- What technical and financial arrangements are needed and can be mobilized to sustain the NAP process in the short to long-term?



## 2. Lay the Groundwork & Address Gaps in Adaptation Capacity

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### a. Characterize data and information on capacities, climate risk and climate-resilient development

- What are capacity needs for the NAP process?
- What data and information are available and/or needed to assess current and future climate risks, vulnerability and adaptation?
- What are key goals, opportunities and constraints regarding the link between development and adaptation?

### b. Build capacity for climate change adaptation

- How can capacity gaps (technical, awareness, participation, integration, etc) best be addressed and which resources are required?
- How can long-term capacity-building be institutionalized?



### 3. NAP Preparatory elements

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- a. Structure the adaptation problem: Assess climate vulnerabilities at the sector and decision unit level and identify adaptation options
  - What are the key development goals, climate risks and vulnerabilities at the sector and decision-unit level?
  - What are the most appropriate and effective strategies and options to address priority risks at the sector level based on available resources and potential synergies with other strategies and plans?
  - Who are the relevant stakeholders to be engaged?
- b. Appraise adaptation options
  - What are the costs and benefits of climate impacts and identified adaptation options?
  - Where and when should measures be implemented considering available resources and potential synergies with other plans?
  - What are the expected outputs, outcomes and impacts of the NAP at the sector and decision-unit level?



## 4. Implementation strategies

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### **a. Prioritize climate change adaptation work at the national level and produce a NAP**

- What kinds of criteria are appropriate to identify national adaptation priorities based on national and sectoral assessments?

### **b. Develop a national adaptation implementation strategy**

- What is the most appropriate strategy for policies, programmes, and projects to implement the NAP through and which responsibilities and stakeholders are required?
- How can the design and implementation of the NAP be aligned with other national strategies and plans?

### **c. Enhance long-term capacity for the NAP process**

- How can technical and institutional capacities and regulations for planning and implementing adaptation be maintained and enhanced?
- What can be learned from other international experience and international cooperation on adaptation planning?



## 5. Reporting, Monitoring and Review

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### a. Regularly review the NAP process

- How must a national M&E system be designed which could facilitate a regular review and update of the NAP regarding expected outputs, outcomes and impacts?
- What are time- or content-related triggers for revising the NAP?

### b. Reporting

- What kind of information will the NAP contain and how will it be disseminated?
- What kind of information needs to be included in reporting on progress for the NAP process through the national communication process and other channels?
- What are lessons learned from the NAP process and how can these best be disseminated?



## Module 3: Designing implementation strategies

# 3.3 NAPA as a building block for the NAP process

LEG training workshops for 2012-2013  
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**3.3. NAPA as a building block for the NAP process**

3.4. Synergy

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**CASE STUDIES + REGIONAL INPUTS**

### Learning points:

- elements for laying the groundwork for NAPs
- Linkages between NAPAs and NAPs

### Guiding questions:

- Which activities are required for the NAP groundwork?
- How can the implementation of NAPA projects contribute to the NAPs?





## Steps in the NAP

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1. Initiate and launch the NAP process
2. Lay the Groundwork & Address Gaps in Adaptation Capacity
  - Objectives
    - Identify weaknesses and gaps in enabling environments;
    - Address them as necessary, to support the formulation of comprehensive adaptation plans, programmes and policies.
3. NAP Preparatory elements
4. Implementation strategies
5. Reporting, Monitoring and Review



## Elements of the groundwork for NAPs

### **Institutional capacity**

- Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership of adaptation

### **Data and information**

- Assessment of available information on climate change impacts, vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels

### **Link development and climate change**

- Comprehensive, iterative assessments of development needs and climate vulnerabilities



## How can NAPA projects contribute to NAP groundwork?

### Institutional capacity

- Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership of adaptation

### Potential contribution through NAPA activities

- Monitoring of strengths and weaknesses in institutional and technical capacity to identify gaps and needs for medium-and long-term planning

- Creation of database to collect data and information on existing and emerging programmes, policies, and capacities



## How can NAPA projects contribute to NAP groundwork?

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### Data and information

- Assessment of available information on climate change impacts, vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels

### Potential contribution through NAPA activities

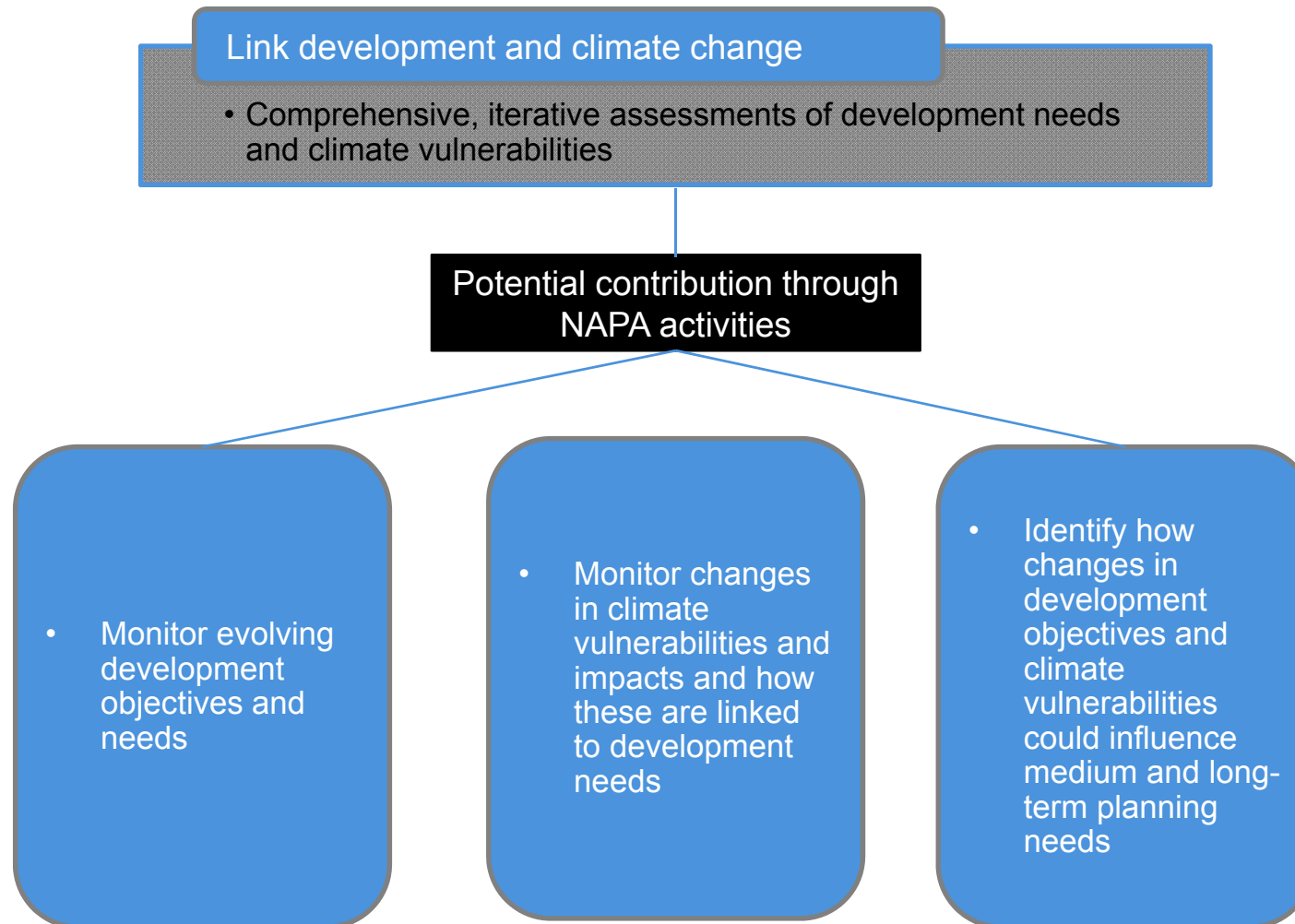
- Create database to collect data and information on CC impacts, vulnerabilities and adaptation activities as they are or become available

- Analyze and evaluate this data and information in order to identify gaps and needs in terms of quantity and quality



## How can NAPA projects contribute to NAP groundwork?

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## Discussion

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Which activities are required for the NAP groundwork?

How can the implementation of NAPA projects contribute to the NAPs?



## Module 3: Designing implementation strategies

### 3.4. Exploring synergy with other programmes at the regional level

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**CASE STUDIES + REGIONAL INPUTS**

### Learning points:

- Identifying opportunities and barriers of synergies in implementing regional adaptation strategies.

### Guiding questions:

- What are the benefits and barriers of creating regional adaptation strategies?
- For which areas of adaptation are regional adaptation strategies important to consider?





## What is synergy?

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### a) Definition of synergy:

- Synergy can be defined as the “interaction or cooperation of two or more organizations, substances, or other agents to produce a combined effect greater than the sum of their separate effects”.

### b) Rational for synergy in the context of NAPAs and the LDC W/P:

- The need to strengthen capacity to adapt (data, information, modelling, methods and tools, technology, institutions, skills, etc);
- The opportunity to help broaden the knowledge base on adaptation;
- The opportunity to share costs and pool resources for implementation;
- Avoiding negative transboundary impacts during implementation;

### c) Categories of synergy relevant to the NAPAs and the LDC W/P:

- Synergy at the national level with other programmes;
- Regional synergy;
- Synergy with MEAs.



## Areas of adaptation where regional strategies become important

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### a) Addressing data and climate modelling needs:

- Collection of data at a regional level for solving the problem of lack of data;
- Development of regional climate change models and scenarios;

### b) Addressing adaptation across shared resources:

- e.g. fisheries;

### c) Exchange of experiences, best practices and lessons learned:

- Lateral transfer of existing coping strategies;

### d) Costly adaptation solutions such as insurance:

- e.g. Individual Pacific island countries are not likely to be able to afford catastrophe insurance because of high frequency of disasters, small pools of contributors, the complete exposure of low-income groups and difficulties in raising a sufficiently large fund pool. Therefore, a regional scheme could serve to spread the risk, increase the pool of contributors and reduce the cost of administration.



## Opportunities and barriers to implement regional strategies

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### Opportunities:

- Cost and information sharing in capacity-building activities, early-warning systems and measures for disaster risk reduction,
- Regional initiatives can improve national and regional operational management of climate sensitive natural resources and sectors of significance for LDCs;

### Barriers:

- Adaptation needs differ widely based on geography and the prevailing conditions in the area, so the same phenomenon can have widely disparate impacts on populations in different parts of the world;
- Historical, cultural and religious differences, different legal frameworks, difficulties in defining an appropriate region for purposes of structuring a pool and difficulties in obtaining the sustained commitment of politicians could limit the realization of regional insurance schemes;
- A regional strategy could compete with national efforts for resources;



## Relevant actors and initiatives

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### a) National institutions:

- National government systems, local NGOs, local universities;
- National focal points for the MEAs and other relevant international initiatives;

### b) Regional centres, networks, programmes and projects

- SPREP, SPC, SOPAC;
- PACC, JNAP;
- ADB;

### c) Bilateral cooperation agencies and programmes

- AusAID, GIZ, OECD;
- GCCA;

### d) International organizations:

- FAO, IUCN, UNDP, UNEP, UNISDR, UNU, WHO, World Bank;
- Red Cross and Red Crescent;

