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### Subsidiary Body for Implementation

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Item 7 of the provisional agenda

**National adaptation plans**

### **Report on the expert meeting on the process and the modalities and guidelines for the formulation and implementation of national adaptation plans**

**Note by the secretariat\***

#### *Summary*

This report provides a summary of the expert meeting on national adaptation plans (NAPs) that was held in Vientiane, Lao People's Democratic Republic, on 15–17 September 2011. Discussions at the meeting focused on elements and deliverables of the process to enable the least developed countries (LDCs) to formulate and implement NAPs, building upon their experience in preparing and implementing national adaptation programmes of action, and on modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPs. The note contains a summary of presentations made by Parties, the Least Developed Countries Expert Group, organizations and individual experts on their experiences in planning and implementing adaptation, including best practices and lessons learned. It concludes with a synthesis of views from the meeting, as well as recommendations and issues for further consideration.

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\* This document was submitted after the due date as a result of the timing of the expert meeting on national adaptation plans.

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## I. Introduction

### A. Mandate

1. At the thirty-fourth session of the Subsidiary Body for Implementation (SBI), the SBI requested the secretariat to explore the possibility of convening an expert meeting, subject to the availability of resources and in conjunction with any other relevant event held prior to the seventeenth session of the Conference of the Parties (COP).<sup>1</sup> The SBI requested that the expert meeting take into account the conclusions from SBI 34, and input from the Least Developed Countries Expert Group (LEG) and other relevant sources. It also requested that the expert meeting include experts from Parties and relevant organizations, the LEG, and relevant stakeholders. It requested the meeting to:

(a) Identify and discuss elements and deliverables of the process to enable the least developed countries (LDCs) to formulate and implement national adaptation plans (NAPs), building upon their experience in preparing and implementing national adaptation programmes of action (NAPAs);

(b) Elaborate draft modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPAs.

2. The SBI requested the secretariat to prepare a report on the expert meeting, to be made available for consideration at its thirty-fifth session.

3. In addition, the SBI invited Parties and relevant organizations to submit to the secretariat their views on the following matters, by 15 August 2011, for compilation, and as input to the expert meeting:

(a) The process to enable LDC Parties to formulate and implement NAPAs, building upon their experience in preparing and implementing NAPAs;

(b) The modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPAs.

4. Submissions received by the secretariat have been compiled into a miscellaneous document.<sup>2</sup> The SBI further requested the secretariat to prepare a synthesis report based on these submissions.<sup>3</sup>

### B. Scope of the note

5. This report provides information on the expert meeting referred to in paragraph 1 above. It draws upon the discussions and presentations at the expert meeting. It contains the following:

(a) Description of the workshop proceedings;

(b) Summary of presentations from Parties, the LEG, organizations and individual experts on their experiences in planning and implementing adaptation, including best practices and lessons learned;

(c) Synthesis of discussions at the meeting;

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<sup>1</sup> FCCC/SBI/2011/7, paragraph 98.

<sup>2</sup> FCCC/SBI/2011/MISC.7.

<sup>3</sup> FCCC/SBI/2011/13.

- (d) Issues for further consideration.

### **C. Possible action by the Subsidiary Body for Implementation**

6. Participants at the meeting suggested that the SBI use the synthesis of views from the meeting as a basis for the discussion on NAPs at its next session in Durban. The SBI may wish to consider the information contained in this report, in particular the section on the synthesis of views, as a basis for its discussions on NAPs at its thirty-fifth session.

### **D. Background**

7. The COP, at its sixteenth session, established the Cancun Adaptation Framework (CAF),<sup>4</sup> with the objective of enhancing action on adaptation under the Convention. As part of CAF, the COP decided to establish a process for LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. The COP invited other developing country Parties to employ the modalities formulated to support these NAPs in the elaboration of their planning effort.

8. At the same session, the COP requested the SBI to elaborate the modalities and guidelines for the provisions of paragraph 7 above, for adoption by the COP at its seventeenth session. The SBI, at its thirty-fourth session, initiated discussions on this matter and formulated conclusions that included the following considerations:

- (a) Request to the secretariat to convene the expert meeting referred to in paragraph 1 above;
- (b) Invitation to Parties and relevant organizations to make the submissions referred to in paragraph 3 above;
- (c) A provision to continue discussions on the matter at its thirty-fifth session with a view to making recommendations to the COP at its seventeenth session.

## **II. Proceedings**

9. The secretariat, in collaboration with the Ministry of Natural Resources and Environment of Lao People's Democratic Republic, organized the expert meeting on NAPs in Vientiane, Lao People's Democratic Republic, on 15–17 September 2011. The meeting was chaired by Mr. Robert Owen-Jones, Chair of the SBI. It was attended by 64 participants from Parties, international, intergovernmental and non-governmental organizations, regional centres, and individual experts and practitioners active in the area of adaptation.

10. The discussions at the expert meeting were informed by conclusions on the discussions held by Parties at the thirty-fourth session of the SBI,<sup>5</sup> submissions from Parties and relevant organizations, and input from the LEG, Parties and organizations.

11. The meeting was officially opened by Ms. Monemany Nhoibouakong, Permanent Secretary, Ministry of Natural Resources and Environment, Lao People's Democratic Republic. The opening was followed by an introduction providing the background to the

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<sup>4</sup> Decision 1/CP.16, paragraphs 11–35.

<sup>5</sup> FCCC/SBI/2011/7, paragraphs 94–102.

NAP process and the objectives of the meeting. This was followed by a set of presentations focusing on experiences, best practices and lessons learned in formulating and implementing adaptation plans and strategies in different country contexts, including perspectives on NAPs. Two of the presentations from Parties focused on elements and deliverables of the process to enable LDCs to formulate and implement NAPs.

12. Subsequently, breakout group discussions were held providing participants with an interactive forum in which to consolidate ideas on the elements and deliverables of the process to enable LDCs to formulate and implement NAPs, and on modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPs. The discussions were separated to focus on LDCs on the second day of the meeting and on other developing countries on the last day of the meeting.

13. Key discussion points from the breakout group sessions were reported back and were followed by further discussions at plenary sessions with a view to identifying common areas and to further consolidating Parties' views as a basis of informing discussions on NAPs which would take place at SBI 35.

### **III. Summary of presentations made in the expert meeting**

#### **A. Summary of presentations from Parties**

##### **1. United States of America**

14. A participant from the United States of America made a presentation on that Party's efforts to develop adaptation strategies and plans; a process that was initiated in 2009. The presentation indicated how the Federal Government led the process and established an Inter-Agency Task Force (IATF) for climate change to identify the steps necessary for the Federal Government, and public and private decision makers to better understand, prepare for, and adapt to climate change, and by issuing executive orders on how federal agencies take part in the process.

15. The presentation indicated that the process of the United States follows a road map approach focusing on integrating adaptation into existing planning, and is iterative, collaborative and flexible. It indicated that the process is based on nine guiding principles, which included that adaptation should not be stand-alone, strategies should prioritize actions on people, places and infrastructure most vulnerable to climate change, adaptation should be supported by the best available scientific knowledge, and should focus on strong partnerships, risk management, ecosystem services, multiple benefits and performance evaluation. It covered lessons learned and good practices that noted the value of integrating adaptation into existing plans and strategies, the need to make data available, the benefits of engaging local communities, the value of face-to-face communication, and the important role played by the climate change IATF.

##### **2. Australia**

16. A participant from Australia made a presentation on Australia's approach to adaptation. The presentation indicated that Australia is in the process of developing a national adaptation plan informed by a position paper that set out Australia's vision on adaptation to climate change and proposed practical steps to realize that vision under the following principles: Australia recognizes that governments, businesses and the community have important, complementary and differentiated roles to play in adaptation, adapting to climate change is about managing climate risks, and the most vulnerable need particular attention.

17. The presentation emphasized that governments need to provide information about the potential impacts and risks of climate change, the laws and policies that would make adaptation possible, and the adaptation programmes for goods and services (e.g. public health and safety measures, flood and coastal protection, and emergency management facilities). It indicated that in the case of Australia, the Council of Australian Governments plays a central role in developing and implementing policy reforms for adaptation, and in managing adaptation at the national level. The presentation also emphasized the need to monitor progress and to evaluate the effectiveness of the policies and collective measures taken in adapting to climate change.

### 3. Nepal

18. A participant from Nepal made a presentation on Nepal's experiences in formulating and implementing a NAPA. The presentation indicated that the NAPA was prepared with an objective to mainstream adaptation into national development. The presentation also indicated that Nepal has initiated a local adaptation plan of action to be directly implemented by local governments to facilitate the integration of adaptation into national development. A climate change policy was developed and adopted in 2011, and a framework is also being developed to implement this policy.

19. The presentation highlighted some of the needs of Nepal to further advance its work on adaptation, which included strengthening institutions and coordination mechanisms at the national level, and strengthening finance, technology and capacity-building to support adaptation. It concluded by indicating that Nepal's experience thus far will assist the country to embark on the NAP process.

### 4. Benin

20. A participant from Benin made a presentation on perspectives in formulating and implementing a NAP based on their national experience. The presentation highlighted Benin's experiences when addressing climate change which included the preparation of the first and second national communications, the establishment of a National Committee on Climate Change in 2003, the development of a national strategy for implementing the Convention in 2003, and the formulation of a NAPA. It provided the following perspectives for the NAPs:

- (a) The process should be based on decision 1/CP.16, paragraphs 14 and 15;
- (b) It complements NAPA by looking at medium- and long-term adaptation, and involves in-depth studies, and vulnerability and adaptation assessments;
- (c) It will require a high-level national coordination mechanism, thematic expertise, and monitoring and evaluation;
- (d) The NAP will need to be integrated into national development plans;
- (e) The NAP will need to be updated periodically such as every five years;
- (f) The NAP process would benefit from support through tools similar to the *LEG Step-by-Step Guide for Implementing National Adaptation Programmes of Action*;<sup>6</sup>
- (g) The NAP process would need to be primarily funded through the Green Climate Fund.

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<sup>6</sup> <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf)>.

## 5. Germany

21. A participant from Germany made a presentation on that Party's experiences in adaptation planning through domestic policy and through German development and climate cooperation. The presentation highlighted that Germany developed an adaptation strategy, which was adopted by Parliament in 2008, and an action plan for adaptation that was adopted in 2011.

22. The presentation highlighted Germany's efforts in supporting developing countries on adaptation strategies (in India, the Philippines and the Southern African Development Community) and mainstreaming climate-proofing processes (in Viet Nam, Morocco and Mali). The presentation indicated the practical experiences of Germany regarding adaptation, which included the following considerations for effective adaptation processes:

- (a) Establishing clear benchmarks;
- (b) Using monitoring and evaluation as planning tools;
- (c) Building on existing processes to reduce transaction costs;
- (d) Mainstreaming and tapping into existing expertise as an effective method in influencing key decisions;
- (e) Creating participatory processes that take on board all stakeholders.

## 6. Ghana

23. A participant from Ghana made a presentation on the Party's experiences in formulating and implementing a national adaptation strategy in the country. The presentation indicated that the preparation process started in 2008, and involved multi-stakeholder consultations, inputs and collaboration. It further indicated that the strategy focuses on livelihoods, energy, agriculture, health, early warning systems, fisheries management, land use, water, public awareness and research. The presentation mentioned that the strategy is based on three concepts: a proactive and long-term approach to addressing the impacts of climate change on Ghana's economy, the goal to enhance Ghana's current and future development, and improved collaboration across sectors.

24. The presentation highlighted that implementation of the strategy takes into account existing institutional arrangements, monitoring and evaluation to ensure that resources are utilized cost-effectively, and that international collaboration and the funding envisaged to accrue through the Adaptation Fund, and multilateral, bilateral, and national sources is realized.

## 7. Norway

25. A participant from Norway made a presentation, which focused on modalities and guidelines for NAPs. It indicated that the view is not to have modalities that are exclusively developed for the NAP process, but rather to see how various parts of CAF can be targeted in a way that fosters and supports adaptation processes at the national level. It noted that LDCs need to continue to receive special recognition in accordance with Article 4, paragraph 9, of the Convention, that they need focused and dedicated capacity-building support, that the LEG needs to continue to support the LDCs, and that the LDCF, as a fund used to meet the needs of LDCs, could support the start of the NAP process for these countries.

26. The presentation provided options for capacity-building for the NAP process, which included support through the Adaptation Committee (AC), the LEG and regional centres and networks. It suggested the engagement of the Nairobi work programme on impacts, vulnerability and adaptation to climate change as a possible forum for

knowledge generation and for the sharing of best practices and lessons learned. The presentation flagged the issues that may need to be further researched including the roles and interlinkages between the LEG, AC, CGE and the Technology Executive Committee (TEC) in supporting the NAP process, and the role of national communications in reporting on progress and on the status of adaptation.

## 8. Gambia

27. A participant from Gambia made a presentation that focused on the LDC Group's views on the elements and deliverables of the process to enable LDCs to formulate and implement medium- and long-term NAPs. The presentation suggested the following as guiding principles for the NAP process:

- (a) Be distinct and separate from the NAPA process;
- (b) Complement the NAPA process by addressing medium- and long-term adaptation;
- (c) Be a dynamic, continuous process with periodic outputs or communications to convey the priorities and needs for adaptation to the Convention and other partners;
- (d) Communicate the NAP through a stand-alone report/document to be published and made available to all stakeholders, and submitted to the secretariat;
- (e) Involve more comprehensive vulnerability assessments;
- (f) Be guided by decision 1/CP.16, paragraph 12;
- (g) Place priority on full and effective participation by local communities and the most vulnerable;
- (h) Include regional concerns and collaboration.

28. The presentation identified the following deliverables for the process:

- (a) Background information on the country;
- (b) Overview of climate variability, observed and projected climate change, and associated actual and potential adverse effects;
- (c) Short-, medium- and long-term expected impacts, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options;
- (d) National adaptation framework and its relationship and consistency with national development goals, taking into account other plans and multilateral environmental agreements;
- (e) Processes and methodologies to optimize existing national frameworks and capacities;
- (f) Adaptation activities including capacity-building, policy reform, integration into sectoral policies and project-level activities, including issues relating to disaster risk reduction;
- (g) Approaches to minimize gaps and to overcome barriers in the process;
- (h) Implementing strategy for medium- and long-term adaptation activities;
- (i) The process of updating and reviewing the plan;
- (j) Monitoring and evaluation in accordance with decision 1/CP.16.



## 9. Canada

29. A participant from Canada made a presentation that also focused on the elements and deliverables of the process to enable LDCs to formulate and implement NAPs. The presentation highlighted the principles that may be used to guide the process, which included national efforts which should result in actions that: build on the principles outlined in the Cancun Agreements, good practices and lessons learned from NAPA and other relevant processes, and on the best available scientific research; enable the integration of adaptation considerations into existing national planning, the development of the necessary programmes and institutional processes, capacity-building, communication of adaptation needs, and regular update and revision of strategies, policies and programmes; are reviewed regularly and respond to improved knowledge and changes in conditions.

30. The presentation provided a conceptual framework of how the NAP process could be viewed at the national level (see annex). It indicated that the national adaptation process needs to include a strategy, within which can be defined several elements that include: laying the groundwork; developing a strategy or framework or plan; implementing activities; and reviewing and updating the process. It noted that the elements can be phases, stages or building blocks that overlap over each other depending on national circumstances.

31. The presentation identified that deliverables for the national-level process could include a national-level 'plan' on adaptation; integration of climate change into relevant policies, programmes, processes; enhanced capacity for managing the national process; and communication of progress, needs and lessons learned to the secretariat. International-level deliverables were suggested as activities, decisions and support that would enable national processes and reporting in a manner that shares information, good practices and lessons learned, and that would inform future actions and decisions.

32. The presentation concluded with the key messages that: the 'plan' needs to articulate an ongoing and evolving process which is regularly revisited; the process builds on existing experience and material; elements and processes need to be flexible to allow national circumstances to be tailored for; and NAPAs provide a good starting point.

## B. Summary of presentations from the Least Developed Countries Expert Group

33. The LEG provided contributions to the meeting through a set of three presentations. The first presentation was on best practices and lessons learned in addressing adaptation in LDCs through the NAPA process, based on a publication by the LEG on the subject.<sup>7</sup> The lessons learned and best practices were presented with a view to developing options for enhanced implementation of the LDC work programme and in particular NAPA, and to inform future adaptation planning in LDCs and other developing countries. They were presented under the following themes:

- (a) NAPAs are widely viewed as a success story;
- (b) The NAPA approach allows for flexibility for countries in its design and implementation;
- (c) Engaging stakeholders from the NAPA preparation stage in implementation and other subsequent steps has many advantages;
- (d) Envisioning the involvement of NAPA teams in the long term helps to raise awareness and ensures continuity of adaptation programmes and activities in the country;

<sup>7</sup> <[http://unfccc.int/essential\\_background/library/items/3599.php?such=j&symbol=FCCC/GEN/263%20E#beg](http://unfccc.int/essential_background/library/items/3599.php?such=j&symbol=FCCC/GEN/263%20E#beg)>.

(e) Regular interaction between the LEG and LDCs has been very useful for preparing and implementing NAPAs;

(f) Good relations with the Global Environment Facility (GEF) agency results in a smoother implementation of NAPA projects;

(g) Designing a thorough implementation strategy can improve the effectiveness of NAPA implementation;

(h) The simplified LDCF project cycle provides expedited access to resources.

34. The second presentation was on medium- and long-term adaptation in LDCs, based on a LEG technical paper aimed at providing technical advice and guidance on the identification of medium- and long-term adaptation needs, their integration into development planning, and the implementation of identified adaptation activities in LDCs. The presentation provided five key messages with respect to medium- and long-term adaptation:

(a) NAPAs provide a good starting point for medium- and long-term adaptation;

(b) Medium- and long-term adaptation requires an iterative process with stages that may be designed to suit specific national circumstances;

(c) Medium- and long-term adaptation is mainly policy driven, therefore effective integration becomes more important;

(d) Medium- and long-term adaptation does not replace the need to address urgent and immediate needs;

(e) A significant body of material is available for guiding the process, although it may need to be tailored and supported by targeted training.

35. The presentation provided building blocks for the process to identify and implement medium- and long-term adaptation plans, that included the following:

(a) Assessing and aligning adaptation planning with national policy frameworks, national development frameworks and models, and baseline development policies, programmes and plans;

(b) Performing spatial and temporal biophysical and social characterization of the country and region, the climate and the socio-economic scenarios for the area;

(c) Developing an overarching national adaptation framework and strategy;

(d) Undertaking a participatory rapid integrated vulnerability and adaptation assessment;

(e) Developing sectoral or regional adaptation plans;

(f) Implementing the strategy for adaptation.

36. The third presentation provided insight into how guidelines for medium- and long-term adaptation could be developed, building on the NAPA guidelines. It provided an analysis of the elements of the NAPA guidelines and how they could be applied, or improved upon for application in medium- and long-term adaptation. It identified possible elements for the guidelines for medium- and long-term adaptation plans, which are as follows:

(a) Establishing or strengthening appropriate national adaptation institutional arrangements for the overall coordination of the adaptation process at the national level;

(b) Developing an overarching national adaptation strategy that sets out a national vision for adaptation and proposes practical steps to realize that vision;

- (c) Establishing or strengthening climate change research services and facilities;
- (d) Undertaking climate and socio-economic scenario analysis;
- (e) Performing economic costing and analysis;
- (f) Commissioning sectoral or specific vulnerability and adaptation assessments;
- (g) Implementing adaptation activities;
- (h) Monitoring and evaluating the process;
- (i) Integrating adaptation into national development plans;
- (j) Leveraging with other relevant programmes within and outside of the UNFCCC process, including those beyond the climate change agenda;
- (k) Sharing experiences, best practices and lessons learned;
- (l) Making provision for multiple entry points depending on national circumstances;
- (m) Allowing for the reporting of key steps, progress analysis and review.

## **C. Summary of presentations from organizations and other experts**

### **1. Secretariat of the Pacific Regional Environment Programme**

37. A representative of the Secretariat of the Pacific Regional Environment Programme made a presentation on its experiences in supporting small island developing States of the Pacific. The presentation highlighted four regional climate change initiatives that have benefitted the Pacific countries by laying the foundation for adaptation planning and for enabling countries to establish climate change institutions.

38. The presentation covered challenges that were faced by the Pacific countries, which include the following: restrictive funding, co-financing requirements for GEF managed funds, complex reporting requirements, limited capacities due to small populations, differences in national-level mandates, and additional challenges for regional projects as countries that are slower in implementing the national components of their projects hamper the overall progress of the project.

39. The presentation also highlighted good practices, including the flexibility of bilateral funding, which builds upon existing processes. It indicated that it is important to establish the institutional structures correctly from the beginning, and that there is a need to include resources and time in the budget for capacity-building for project management skills.

### **2. Food and Agriculture Organization of the United Nations**

40. A representative of the Food and Agriculture Organization of the United Nations (FAO) delivered a presentation, which indicated that areas of the work of the FAO relating to adaptation include the following: data and knowledge for impact assessment, conservation and sustainable management of biodiversity, methods and technologies, improved disaster risk management, and the strengthening of land-based sectors. It highlighted ongoing initiatives in understanding the impacts of climate change on fisheries and aquaculture. It provided the following issues for further consideration:

- (a) Regional and transboundary management issues need to be explicitly covered;

- (b) Integrated approaches and regional considerations need to be integrated through inter-agency, inter-ministry, and regional coordination and partnerships;
- (c) Secondary impacts should be analysed more systematically;
- (d) Broader vulnerabilities of the agricultural sector need to be considered;
- (e) There is a need to link NAPAs to other funding;
- (f) Support for adaptation to include capacity-building and learning.

### **3. United Nations Development Programme**

41. A representative of the United Nations Development Programme made a presentation on NAPs based on experiences in supporting NAPAs and other bilateral initiatives (the Africa Adaptation Programme, and the Pacific Adaptation to Climate Change Programme). The presentation highlighted some of the emerging realities, which include issues on where funding for adaptation will be sourced. It suggested that a future framework may include the following considerations:

- (a) The NAP process playing a key role in supporting climate-resilient development;
- (b) The process flowing through existing national delivery mechanisms;
- (c) Evaluating the results and impacts of actions;
- (d) Establishing long-term political processes and institutional support mechanisms at the beginning of the process;
- (e) Improving private-sector engagement with the process;
- (f) Strengthening consultative processes building on NAPAs;
- (g) Strengthening analytical information (e.g. the economics of adaptation);
- (h) Linking with existing processes and programmes;
- (i) Improving coordination through the engagement of Ministries of planning and finance;
- (j) Creating strong partnerships.

### **4. World Bank Pilot Programme for Climate Resilience**

42. A representative of the World Bank made a presentation on the Pilot Programme for Climate Resilience (PPCR). It indicated that PPCR offers useful lessons and models to inform the design of NAPs under the Convention and financing modalities under the Green Climate Fund to be discussed in Durban, South Africa. It indicated that the programme has been designed to be part of the development process in each country, and involves two phases: a first phase for the development of the strategic programme for climate resilience; and a second phase for the implementation and management of the investments within a programmatic context. It indicated that these phases overlapped in almost all countries.

43. The presentation listed lessons learned and good practices under the programme. These included the value added by strong leadership, country ownership and coordination, and building on or supporting existing initiatives. It flagged the benefits of enhancing critical readiness elements for adaptation. It noted the benefits presented by predictable financing. It also noted the need to promote adaptive management, learning and exchange of information in accessible ways in order to enhance public awareness of climate change.

## 5. United Nations Environment Programme

44. A representative of the United Nations Environment Programme (UNEP) made a presentation on some of the positive experiences of UNEP in the NAPA process, which included flexibility, advantages of well-established and well-functioning processes to support adaptation, and benefits in countries that were eager to transition to climate sensitive development. It also highlighted challenges identified during the NAPA process, which dealt with the sustainability of NAPAs, concepts and needs in the development of implementation projects, and the lack of evidence on effectiveness of adaptation measures. The presentation provided the following issues for further consideration:

- (a) Requirement for clear guidance to be provided to countries in conducting the NAP process, and in reporting and accessing resources;
- (b) Need to build on and to catalyse ongoing processes;
- (c) Requirement for a clear description of the cooperation between the LEG, CGE and TEC;
- (d) Development of a solid baseline for proper monitoring and evaluation of the process;
- (e) Documentation of lessons learned and good practice;
- (f) Mobilization of inter-agency interactions and ensuring that adaptation needs are taken into account in different donor and agency programmes;
- (g) Enhanced private-sector engagement.

## 6. South African National Biodiversity Institute

45. A representative of the South African National Biodiversity Institute made a presentation on how ecosystem-based approaches (EBA) to adaptation might inform NAP processes. The presentation provided an example of a wetland restoration initiative showing that the value of the livelihood benefits provided by the rehabilitated wetland more than doubled the cost of the rehabilitation interventions. A second example demonstrated how the clearing of invasive alien forest species increased the local crop yield by more than 30 million m<sup>3</sup> or 40 per cent of the yield at a low investment compared with the returns. In both situations, local communities were the primary employees.

46. The presentation highlighted the positive experiences of the institute in using the EBA approaches, emphasizing their large-value multipliers, and enhancing sustainable development, flexibility and adaptability to different scales, action-orientations and accessibility to poor communities. Finally, it indicated that EBAs enhance resilience under climate scenario uncertainty.

## 7. Renewable Energy and Energy Efficiency Partnership

47. A representative of Renewable Energy and Energy Efficiency Partnership made a presentation on how the private sector can contribute to NAPs through clean energy provision in the Pacific region. It indicated that the role of clean energy in adaptation manifests itself in two key areas: safer cooking and energy security. It highlighted that decentralized renewable energy systems are the key to reducing vulnerability to climate change through increased economic activity, enhanced access to education and information, and relief of pressure on resources. The presentation flagged the following recommendations for building energy-resilient energy sectors:

- (a) Pursue ambitions by setting goals and striving to achieve them;
- (b) Encourage private-sector involvement by setting out conducive ground rules;

- (c) Include energy issues in adaptation planning;
- (d) Implement whole-of-sector reform, to provide for long-term benefits;
- (e) Involve close collaborators, including for technical support and financing;
- (f) Invest in the capacity of agencies.

#### **IV. Synthesis of discussions at the expert meeting**

48. Following the presentations, breakout group and plenary discussions, participants agreed on the types of process elements and deliverables that would enable LDCs to formulate and implement NAPs, and on the modalities and guidelines that LDC Parties might use to formulate and implement NAPs. Participants also defined cross-cutting issues, which included objectives and scope of the NAP process, guiding principles, synergies and other relevant broader issues.

49. Participants noted that elements and deliverables of the process to enable LDCs to formulate and implement NAPs need to be considered at both the secretariat level and at the national level. Participants equally felt that there are those modalities that need to be enabled and coordinated at the secretariat level, and those that countries can enable and coordinate at their national levels, given support.

50. For the national level, it was noted that the process may be envisioned to include four key elements/phases that do not necessarily need to be performed in sequence, but are important for the success of the national process, as follows (see annex):

- (a) Laying the groundwork at the national level, putting in place necessary mechanisms and institutional frameworks to manage the national process;
- (b) Developing a national strategy, framework or plan to address climate change at the national level;
- (c) Implementing specific adaptation activities;
- (d) Reviewing, monitoring and evaluation, and updating as necessary.

51. Regarding guidelines, discussions noted that different levels of the process will require guidelines to support the national processes, and these processes may include the following:

- (a) Formulating the NAP 'document/deliverable/instrument';
- (b) Developing implementation strategies for different activities;
- (c) Using innovative approaches such as programmatic, sector-wide or ecosystem-based approaches in implementing adaptation activities;
- (d) Integrating adaptation into national development strategies, policies and programmes;
- (e) Integrating gender considerations and other factors of vulnerability into adaptation.

52. Participants also stressed that the process need not have a definite beginning or end, but rather countries may choose different entry points depending on national circumstances, including continuing and enhancing existing efforts to address adaptation.

53. Participants noted that the SBI, at its thirty-fifth session, could focus on agreeing on broad guidelines, and that the elaboration of detailed operational guidelines for NAPs could be undertaken by another body, such as the AC or the LEG.

54. Discussions touched on other issues of a general nature, which included that the NAP process should be a policy-driven process that fosters integration of adaptation into national development and adaptation planning, that it should follow a programmatic approach, and it should contain multiple periodic deliverables targeted at different audiences and stakeholders. The discussions indicated that the process needs to be flexible, to allow for multiple entry points, and that it need not be a burden on countries. However, there was a general understanding that a typical cycle would usually include a gap analysis, followed by risk assessments, identification of adaptation options, their implementation, and then monitoring and evaluation. Participants further emphasized that the process, modalities and guidelines need to be considered concurrently.

## **A. Objectives of the national adaptation plans process**

55. The NAP process will be a continuing and iterative process to enable LDCs to identify, implement and communicate their vulnerabilities and adaptation action at the national and subnational levels, as well as with the international, multilateral process of the Convention.

56. Participants highlighted the following general objectives that could guide the NAP process, both at the national and international Convention levels:

- (a) Integrate adaptation into national development planning processes;
- (b) Reduce vulnerability to climate change;
- (c) Build adaptive capacity and resilience;
- (d) Climate-proof development;
- (e) Ensure sustainable and long-term environmental, social and economic development.

57. The NAP process should address actions or activities that increase resilience to climate change, and ensure environmental, social and economic development in a long-term and sustainable manner through the following methods:

- (a) Generation and sharing of knowledge, experiences and understanding;
- (b) Integration of climate change into relevant existing policies, programmes and activities;
- (c) Development and implementation of new policies, programmes and activities, as necessary.

## **B. Guiding principles**

58. Discussions at the meeting touched on guiding principles or elements that need to be taken into account for the overall design of the NAP process. These included that the NAP process needs to be:

- (a) Participatory, country-owned, country-driven and fully transparent;
- (b) Multidisciplinary, leading to integration of adaptation into development;
- (c) Complementary to existing plans, programmes and mechanisms;
- (d) Oriented towards sustainable development;
- (e) Guided by sound environmental management;

- (f) Guided by a gender-sensitive approach;
- (g) Considerate of vulnerable groups, communities and ecosystems;
- (h) Guided by best available science;
- (i) Cost-effective in the wider context of sustainable development;
- (j) Iterative, flexible, dynamic and continuous with clearly set time frames.

## **C. Elements and deliverables of the process to enable least developed countries to formulate and implement national adaptation plans**

### **1. Convention level**

59. Participants noted that the Convention needs to put in place activities, decisions or systems to enable international mechanisms to provide the following:

- (a) Financial support to enable the national-level process;
- (b) Technical support and advice, particularly through the LEG;
- (c) Guidelines and tailored training and capacity-building, including the strengthening of regional centres and networks;
- (d) Interaction with funding and implementing agencies.

60. It was also noted that such activities, decisions or systems would need to capture and evaluate progress in adaptation. They would need to take in-country level deliverables and direct them to appropriate action and support at the international level. The activities, decisions or systems would also need to be involved in the launch of the process in December 2011.

### **2. National level**

61. At the national level, participants highlighted that possible elements and deliverables for the NAP process could include the following:

- (a) Functional national-level process that addresses urgent and immediate, medium- and long-term adaptation;
- (b) Functional institutional arrangements and coordination mechanisms;
- (c) Enabling environments such as national policy frameworks and legislation;
- (d) Systems for measuring progress, review, monitoring and evaluation;
- (e) Systems for capturing and communicating progress, needs, lessons learned, and best practices between and across all players at the national and international levels.

## **D. Guidelines for the least developed country Parties to formulate and implement national adaptation plans**

### **1. Laying the groundwork**

62. It was identified that an important step or phase of the national process would require the following:

- (a) Creating or strengthening appropriate national adaptation institutional arrangements for overall coordination of the adaptation process at the national level;



(b) Assessing available information on climate change vulnerability and adaptation, and measures taken to address climate change to see what is available, and what are the gaps and needs. This may include the assessment of national development and investment frameworks and their level of treatment/integration of climate change risks and vulnerabilities, and measures to avoid or minimize the impacts of such risks.

(c) Developing an overarching national adaptation strategy that: sets out a national vision for adaptation and proposes practical steps to realise that vision; sets provisions for cooperative actions among various stakeholders; proposes climate change research priorities; identifies human and infrastructural needs; identifies needs, areas or options for strengthening and/or establishing various institutions, bodies, programmes or facilities to support adaptation; proposes priority areas for action; sets the stage for developing sectoral or thematic adaptation plans; and sets timelines and milestones for national actions;

(d) Establishing or strengthening climate services and climate change research facilities for the provision of data and information. This should also include an assessment of the ability to access regional and global databases and tools as these would provide a useful starting point or complementary information for national tools.

## **2. Preparing a national adaptation strategy, framework or plan**

63. Participants stressed that the preparation phase of the national adaptation process should learn from the process that was followed for NAPAs. It was acknowledged that most of the steps that were used in the preparation of NAPAs could apply under the NAPs, and that some steps may need adjustment to fit the context of medium- and long-term timeframes. The following proposed steps were discussed as possible guidelines, to be undertaken in a dynamic manner:

- (a) Comprehensive environmental, social and economic scenario analysis;
- (b) Economic costing and analysis of the risks and impacts of climate change and adaptation options;
- (c) Sectoral or specific vulnerability and adaptation assessments;
- (d) Assessing adaptive capacity;
- (e) Identifying adaptation activities;
- (f) Prioritizing adaptation activities;
- (g) Placing special focus on factors of vulnerability and vulnerable communities, including gender considerations;
- (h) Developing an overarching national strategy, framework or plan to address urgent and immediate, medium- and long-term climate vulnerabilities and risks.

## **3. Implementing adaptation activities**

64. Implementation at all stages of the process was seen as iterative, with opportunities to revise and improve approaches, including expanding the scope of the actions being undertaken. It was identified that this could be done in a programmatic manner, or through individual projects contributing towards the overarching national strategy, framework or plan. The following were considered as possible elements to consider for implementation:

- (a) Developing an implementation strategy that takes into account ongoing national processes and activities, considers implementation of activities at multiple scales (urgent and immediate, medium and long term), maximizes opportunities for scaling up; deploys innovative approaches for implementation to maximize benefits and sustainability;

(b) Implementing adaptation activities, relevant policies, programmes and projects throughout the cycle of the process using, where appropriate, project, sector or programmatic, and regional approaches;

(c) Build necessary capacities on an ongoing basis;

(d) Provide a platform for disseminating knowledge and information, and the sharing of experiences, best practices and lessons learned.

#### **4. Review and update**

65. Participants noted that for the process to deliver maximum benefits and align with national context as well as regional and international efforts, it needs regular review and update, which would cover the review and update of strategies, policies and programmes at regular intervals.

#### **5. Addressing other specific issues**

66. Participants acknowledged that special guidelines for guiding work are required on other specific issues that could include the following:

(a) Performing vulnerability and adaptation assessments, and identifying adaptation activities for specific key socio-economic sectors;

(b) Integrating adaptation into development planning;

(c) Integrating factors of vulnerability, including gender aspects;

(d) Monitoring and evaluating progress;

(e) Reviewing and updating strategies, frameworks or plans at regular intervals.

### **E. Modalities for the least developed country Parties to formulate and implement national adaptation plans**

#### **1. Convention level**

67. Participants highlighted that the modalities at the Convention level would need to include provisions for funding, technology, technical support, training and capacity-building, reporting and evaluation, and sharing of experiences, best practices and lessons learned.

68. On financial support, participants discussed that the national level preparation and implementation of the NAP will be contingent on funding. Discussions highlighted that financing, in particular, will flow through various mechanisms including through those set up under the Convention as the primary source, bilateral channels and a country's own budgets. On the sources and scale of the resources, it was understood that they will be discussed in appropriate meetings. Initial thoughts were also placed on how to launch the process in December 2011, and some ideas were proposed that existing arrangements such as the LDCF for LDCs could provide interim support to start national processes through an enabling window for the LDCs. Specific issues on which participants agreed that the Convention would need to provide guidance on included identification of the sources and the scale of funding, provisions on how LDC Parties and other developing country Parties would access finance, provisions to a financial mechanism, if applicable, on how and for what activities and programmes funding needs to be allocated; and provisions for monitoring, reporting and evaluating access to and use of funds.

69. On the development and transfer of technologies for adaptation, it was mentioned that the secretariat will need to provide clear guidance on how established mechanisms such as the Technology Mechanism can support or promote the transfer and diffusion of adaptation technologies in the NAP process.

70. On technical support, participants felt that this could be done through the LEG as an existing body with experience in addressing the needs of LDCs to develop guidelines for NAPs, and to provide training tailored to LDCs. Participants suggested that provisions would need to be put in place to enable the LEG to support the work on NAPs.

71. Other ideas included engaging regional centres and networks. Participants noted that provisions would also need to be put in place to bring in other specialized organizations to provide their expertise and support for the NAP process (e.g. FAO on agricultural issues, World Health Organization on health-related issues, etc.).

72. Participants emphasized the need for training and capacity-building at individual, systemic and institutional levels, that will be tailored according the specific needs and circumstances of countries. Such training could also serve as an opportunity for countries that have advanced their work on adaptation to share their experiences with those that are less advanced;

73. On reporting, participants suggested ways in which the national adaptation plan could be presented, particularly for the Convention process, relevant financial and technological support mechanisms, and to other financing and support options.

74. Participants also voiced the need for sharing experiences at the international level through systems that capture, analyse, and share experiences, best practices and lessons learned.

## **2. National level**

75. At the national level, participants suggested the following modalities:

- (a) Modalities for ensuring the provision of adequate and predictable funding;
- (b) Climate, social, economic and environmental data and information, including scientific research;
- (c) Systems, methods and tools for managing the national level;
- (d) Systems for leveraging existing mechanisms and processes at the national level for undertaking the NAP process;
- (e) National-level systems to capture, analyse and share experiences, best practices and lessons learned at all levels.

## **F. Modalities and guidelines for other developing country Parties to formulate and implement national adaptation plans**

### **1. General characteristics of the modalities and guidelines**

76. Participants discussed how other developing countries may employ the guidelines and modalities mentioned in chapters IV.D and E above to support national adaptation plans. They identified the following characteristics for the modalities and guidelines:

- (a) Must be relevant for all developing countries;
- (b) Need for their utilization varies between countries;

- (c) Should be flexible enough to allow countries to select and utilize what may be most relevant or useful depending on individual circumstances and needs;
- (d) Strike a balance between flexibility and adaptability.

## **2. Common issues**

77. Participants noted that capacity-building will remain as a central issue in the support for NAPs. It was identified that regional centres and networks could play a great role in providing support for NAPs. It was further noted that there are complementary programmes being implemented at the regional level, by regional centres and networks, which could serve as learning platforms and processes from which NAPs could further gain support. Existing international mechanisms such as the Nairobi work programme were seen as potential mechanisms through which data, information and knowledge can be shared in order to enhance or complement capacity-building efforts.

78. The discussions also noted that other developing countries would need to learn from a broad set of institutions and mechanisms of support. Particular mention was made of how mutual learning could be enhanced so that the experiences and lessons gained by the LEG can benefit the other developing countries to the extent possible. For this, participants discussed a potential for having strong partnerships between the LEG and the AC, including through joint working meetings or memberships.

## **3. Reporting**

79. In the discussions, participants noted that there needs to be a mechanism to report progress on important elements of the process at the national level. Ideas proposed included how linkages could be explored with the national communications in reporting, including how CGE can share its experiences or provide expertise on how national communications can support reporting.

80. Furthermore, a periodic global status report on adaptation, coordinated by the AC, was discussed. This report would include, among other issues, the current level of adaptation in the global context, analysis of adaptation measures, efforts and impacts, gaps in implementing adaptation and in adaptation, and the screening of adaptation measures and their effectiveness. Participants complemented this by suggesting the development of indicators that would be used to inform the report.

## **4. Linkages**

81. Participants emphasized the need for incorporate linkages in the NAP process as part of the modalities to improve the visibility of the NAP process at the national and international levels and hence to encourage and facilitate coherence in support. Bodies that were identified in which linkages can be explored are the LEG, AC and TEC, with a view that this will be expanded to another broader set of players.

## **5. Coherence with finance at national and international levels**

82. Participants noted that the rules and procedures under individual financing mechanisms vary widely. It was therefore highlighted that the design of implementation strategies needs to cover the requirements of anticipated sources of funding to the extent possible. In doing so, participants noted that coherence of finance needs to be a priority.

## G. Synergy

83. It was noted that valuable experience, knowledge, expertise, and structures and mechanisms exist in some countries with support from various programmes and initiatives, including national efforts. Participants emphasized the need for the NAP process to build on and mobilize synergies with existing programmes and initiatives across all scales and at the Convention and national levels.

84. Participants suggested possible programmes and initiatives which the NAP process may explore and in which it may instigate synergies. These included the following:

- (a) Relevant parallel processes under the Convention such as NAPAs, national communications and technology needs assessments;
- (b) Relevant bodies and programmes under the Convention, including the LEG, CGE, TEC, Nairobi work programme, research and systematic observations and loss and damage;
- (c) Other programmes outside of the Convention process such as the World Bank PPCR, and the Africa Adaptation Programme;
- (d) Other multilateral environmental agreements, including the United Nations Convention to Combat Desertification and the United Nations Convention on Biological Diversity;
- (e) Intergovernmental bodies and processes, particularly those involved in mobilizing regional synergies;
- (f) Regional networks and partnerships to take advantage of established institutions, regional initiatives and with which to establish linkages.

## V. Issues for further consideration

85. During the discussions, participants identified issues that would need to be addressed, but that could not be addressed by the expert meeting. Such issues included questions on the following:

- (a) How to kick-start the NAP process at COP 17;
- (b) Defining time frames for different deliverables;
- (c) Dealing with budgetary planning;
- (d) How and where national communications fit in;
- (e) What the role of implementing agencies and other organizations would be.

86. On how to kick-start the process at COP 17, participants recognized that there would be a need to resolve the following matters:

- (a) How would interim funding be arranged while overall funding is still being finalized under the broader discussions on finance. Proposals included options for providing guidance for LDCF to provide interim support, through a special enabling window, for supporting the start of national processes in LDCs. A special climate change fund was also proposed as a possible mechanism for supporting other developing countries;
- (b) Technical support for the process, noting that dissemination of guidelines and modalities, and training should form part of the immediate activities in 2012. Proposals included mandating the LEG to provide technical support and training to move the process forward;

(c) Identifying the set of actions or areas to which technical support and training needs to be tailored.

87. Regarding time frames for deliverables, participants noted that the NAP process should have multiple deliverables that will be generated on a continuous and periodic basis at the national level, and that these deliverables will be targeted at multiple audiences and stakeholders. Participants stressed that some of the key deliverables from the process would need to have predictable time frames, particularly those that may require attention and action at the Convention level.

Annex

[English only]

**Possible elements of the national adaptation plan – the national process**



Source: Adapted from a presentation made by a representative from Canada at the expert meeting.