



Subsidiary Body for Implementation

Thirty-sixth session

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Item 8 of the provisional agenda

National adaptation plans¹

Synthesis report on support for the national adaptation plan process for the least developed countries

Note by the secretariat*

Summary

This report synthesizes the views submitted by Parties and relevant organizations and agencies on support for the national adaptation plan (NAP) process for least developed countries (LDCs). It reports on the following: how organizations and agencies have responded to the invitation to support the NAP process in LDCs and to consider establishing support programmes; support for the NAP process for LDCs; and information provided by the Global Environment Facility, as an operating entity of the financial mechanism for the operation of the Least Developed Countries Fund, on how it could enable activities undertaken as part of the NAP process in LDCs. The report concludes by providing views on the possible next steps.

¹ Decision 1/CP.16, paragraphs 15–18.

* This document was submitted after the due date in order to include views which were received after the official submission date.

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I. Introduction

A. Mandate

1. The Conference of the Parties (COP), at its seventeenth session, invited submissions of views on matters related to support for the national adaptation plan (NAP) process to the secretariat by 13 February 2012 as follows:

(a) The COP invited United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to support the NAP process in least developed countries (LDCs) and, where possible, to consider establishing support programmes for the NAP process within their mandates, as appropriate, which could facilitate financial and technical support for LDCs, and to submit information on how they have responded to this invitation;²

(b) It invited Parties and relevant organizations as well as bilateral and multilateral agencies to submit information on support for the NAP process in LDCs;³

(c) It also invited the Global Environment Facility (GEF), as an operating entity of the financial mechanism for the operation of the Least Developed Countries Fund (LDCF), to submit information on how they could enable activities undertaken as part of the NAP process in LDCs.⁴

2. At the same session, the COP requested the secretariat to prepare a synthesis report on support for the NAP process in LDCs, taking into account the submissions referred to in paragraph 1 above, for consideration by the Subsidiary Body for Implementation (SBI) at its thirty-sixth session.

B. Scope of the note

3. This report synthesizes the information contained in 14 submissions representing the views of four Parties, three groups of countries and seven from relevant organizations and agencies.

4. It begins with a synthesis of views on the NAP process, enabling activities and institutional arrangements; and then on the approach to support, followed by mainstreaming and integrating the NAP process into existing development and adaptation planning.

5. The report then discusses funding for the NAP process in LDCs in terms of sources, mechanism(s) and access. A synthesis of views on support through a diversity of partners and potential support programmes follows.

6. The report then covers technical support and capacity-building, as well as reporting, and closes with views on possible next steps.

C. Possible action by the Subsidiary Body for Implementation

7. The SBI may wish to consider the information contained in this document in its consideration of guidance on policies and programmes to enable support for the NAP process for LDC Parties.

² Decision 5/CP.17, paragraph 23.

³ Decision 5/CP.17, paragraph 24.

⁴ Decision 5/CP.17, paragraph 25.

II. Background

8. At its sixteenth session, the COP established the Cancun Adaptation Framework, and under it, a process to enable LDCs to formulate and implement NAPs, building upon the experience gained by LDCs in preparing and implementing national adaptation programmes of action (NAPAs).

9. At its seventeenth session, the COP adopted initial guidelines for the NAP process, and set out a process for preparing for upcoming discussions on the NAP process under the SBI and the COP, which includes invitations to Parties and relevant organizations to submit information on support, support programmes and enabling activities for the NAP process, a synthesis report to be prepared by the secretariat based on the submissions, and a request to the Least Developed Countries Expert Group (LEG) to provide technical guidance and support to the NAP process.

III. Synthesis of information provided by Parties, United Nations organizations and other relevant organizations, on support to the national adaptation plan process

A. Introduction

10. This chapter contains a summary of the information provided by Parties and relevant organizations on support to the NAP process.⁵ The information is organized into common themes.

B. The national adaptation plan process, enabling activities and institutional arrangements

1. General views

11. A Party reiterated that the NAP process should be continuous, progressive and iterative, and that the distinction between formulation and implementation activities does not imply that the completion of one aspect is a prerequisite to the beginning of activities under the other, with some sources of support being readily applicable to one of the two steps, or to both. Another Party specified that the NAP process must include detailed implementation and related capacity-building and institutional strategies, plans and programmes. Another Party mentioned that the NAP process should include the analysis of financial and technological needs, as well as an assessment of mitigation requirements that can facilitate the effectiveness of adaptation. Some Parties felt that NAP implementation should be the priority.

12. Some Parties, in their submissions, indicated that the NAP process presents an opportunity to scale up support as an urgent priority, in the light of current and emerging impacts. They stressed that additional provisions to those in decision 5/CP.17 are needed for the formulation of NAPs; and in terms of financial, technical and institutional support.

13. Parties called for a dedicated process for enabling activities for the formulation of NAPs, including for building national institutional capacity, and mentioned that the establishment of necessary arrangements to undertake enabling activities need to be

⁵ FCCC/SBI/2012/MISC.1, 2 and Add.1 and 3.

accelerated. They elaborated that enabling activities should be based on ongoing processes at the national level, and connected with development planning and existing adaptation.

14. Some Parties discussed the importance of learning from past successes and failures, to avoid the repetition of certain previous experiences, such as those related to levels of funding and access. Others mentioned that there is a need to take stock of the lessons learned from NAPA formulation and implementation, since the NAP process should not only build upon NAPA preparation, but also on NAPA implementation. They added that there is a need to prioritize NAPA implementation and to expedite the process of the funding thereof, through efficient and streamlined project cycles. Some organizations identified opportunities for linking, and building upon, sector-specific approaches to climate change under the NAP process.

15. Some Parties mentioned that financial support should go hand-in-hand with technical support and support for technology and capacity-building. They added that adaptation technologies need to be identified and accessed under the NAP process. Parties also mentioned that capacity-building of LDC experts is needed to manage funding and projects in a sustainable manner. Several Parties highlighted the existence of ongoing and future activities, which contribute to strengthening adaptive capacity through technical and capacity-building support.

16. Parties also referred to technical support needs including scoping climate change issues; assessing and mapping vulnerability; building internal capacity in the long term; and strengthening regional centres. As a result of these needs, comprehensive technical assistance, capacity development, and tools are needed to support a heightened understanding of this vulnerability at all levels and sectors; the integration of adaptation into sectoral and regional planning, and into strategic tools; modelling, data gathering, processing and analysis, systematic observation and research; and adaptation practices. Furthermore, Parties suggested that south-south cooperation must be promoted to exchange knowledge, learning and skills; with other Parties adding that this can be achieved through support for trilateral cooperation.

2. Enabling activities under the Global Environment Facility for the formulation of national adaptation plans for least developed countries

17. In its submission, the GEF mentioned that it already has experience in supporting LDCs in the NAPA process through the LDCF, and can build upon this for the NAP process. It indicated that given the continued and high demand for resources for NAPA implementation, additional contributions to the LDCF would be necessary to allow the GEF to support the NAP process while maintaining progress towards the implementation of NAPAs. The GEF outlined how the objectives, principles, guidelines and modalities presented in the COP decision align with the mandate, operational policies and financing modalities of the LDCF.

18. With regard to the modalities and guidelines, the GEF highlighted its willingness to support the NAP process in LDCs in a manner consistent with its support for other enabling activities (including within the NAPA and national communication processes, as well as under other conventions) and mentioned that the indicated phased approach of the NAP process is consistent with the manner in which the GEF has previously worked.

19. Furthermore, the GEF welcomed further guidance from the COP to clarify whether enabling activities in support of NAPs are to be adopted in the LDC work programme and whether such activities are to be prioritized for financing under the LDCF.

3. Institutional arrangements at the national level

20. Some Parties felt that institutional arrangements/frameworks at the national level are a key part of the NAP process, and that financial support for these arrangements/frameworks needs to be established, developed or enhanced depending on a country's circumstances. These Parties also suggested the need for the setting up of national implementing entities and national financial institutions to support the NAP process. The Parties discussed that such arrangements should serve to improve the coherence of all activities undertaken on adaptation in the country; and enhance collaboration, coordination and synergy between all relevant sectors, and between regions and subregions. National-level institutional frameworks, it was mentioned, should also include arrangements for the management of the different sources of funding. Furthermore, Parties felt that all LDCs should be supported to create funding entities to mobilize and administer both domestic and international resources at the national level.

C. General approach to support

21. Parties elaborated that efforts to support countries should contribute towards enhancing capacities in a comprehensive manner, for all stages of the planning process, ranging from the assessment and evaluation of impacts and the identification of responses to climate change to the strengthening of relevant institutions and regulatory frameworks and ensuring effective implementation of action.

22. When discussing the approach to support in general in their submissions, Parties suggested that since the NAP process is country-driven, support should be in line with self-identified needs, and based on a country-by-country approach, whereby financial requirements are based on national circumstances. They proposed that the modalities, scope, mechanisms and channels of the support process need to be defined. They noted that support for the NAP process is critical to the implementation of the Cancun Adaptation Framework and the building of trust in the process, and should be in accordance with the Convention and the Bali Action Plan.

23. Some Parties mentioned that support for the enabling activities is needed to allow for all stages of the NAP process, to ensure that support is stable, and not ad hoc and voluntary. They added that the support should also allow for review of the NAP process every five years, and one Party stressed that financial support for NAP revision on an iterative basis should also be available. Some Parties noted that since LDCs are at different phases in planning and implementing adaptation, they will have different support needs. A Party emphasized that any guidance given on support for the NAP process could take this into account, and that different support will be appropriate for the stages of the NAP process. Another Party had the view that funding should not be based on different levels of progress in adaptation.

24. Reference was made to the Pilot Programme for Climate Resilience (PPCR), and it was proposed that LDCs that are not part of the PPCR should be given due consideration in prioritizing support, while those that are part of the PPCR could come into the NAP process at a later stage. An alternative view was expressed that all LDCs should be able to access funding for NAP formulation and implementation regardless of past or current efforts in adaptation, and that such funding could even be used to revise existing adaptation plans.

D. Mainstreaming and integrating the national adaptation plan process into existing development and adaptation planning

25. Many Parties considered that the focus of support should be on sustainable development through adaptation. For the most part, it was acknowledged that mainstreaming the NAP process into existing and planned adaptation and development planning is important and that the NAP process should build upon existing/planned adaptation and development plans/strategies, and should avoid the fragmentation and duplication of activities. Some Parties indicated that multilateral and bilateral programmes provide good models for the NAP process and thus should take account of, and build upon, inter alia, the NAPAs under the LDCF, the PPCR, the Africa Adaptation programme and the low emissions development strategies. One Party specified that the NAP process should be integrated into the development planning of the country, including poverty reduction strategy papers.

26. Some Parties mentioned that, although insufficient, there is existing support that is relevant to the different aspects of the NAP process, for example support in terms of building institutional capacities, strengthening data, information and observation systems, strengthening research and development capacities, enhancing policy and regulatory frameworks, and implementing demonstration activities in the form of projects and programmes.

27. One Party indicated that support should be in line with development priorities; and elaborated that while making pledges or allocating resources, Parties and other entities must also take into account the funds needed by LDCs for the implementation of adaptation plans.

E. Sources of funding

28. Some Parties indicated that a large amount of support already exists for adaptation planning, and that this existing financial and technical support is undertaken through a variety of channels (including bilateral and multilateral channels), from a variety of sources (inside and outside the Convention), and in different sectors. Duplication of such efforts should be avoided. One Party mentioned that an explicit determination of sources of support for the NAP process may limit both the integration of adaptation planning into national development strategies and the possible avenues by which LDCs can seek that support.

29. A number of Parties felt that there has been a low level of implementation of financing thus far, including with regard to the proposed USD 30 billion in fast-start financing. They called for a clear and quantified commitment from developed countries, together with a transparent process to provide support. They also mentioned that there is a need for a balanced allocation of support (in all forms) between adaptation and mitigation, and also between the different regions, and called for priority to be given to African countries and other most vulnerable countries based on their needs.

30. Many Parties indicated that funding for the NAP process should be available on an agreed full cost, purely grants basis, not through concessional lending, and should only be sourced from public funds. They called for a dedicated process with new, additional, predictable, sustainable and adequate financial resources from the developed countries to support the NAP process. One Party indicated that countries wishing to access resources additional to that for the NAP process, through multilateral or bilateral agencies should be allowed to do so. One Party also referred to possible private sector involvement.

31. Some Parties further specified that within NAP funding, funding for formulation should be additional, specific and separate to funding for implementation. They elaborated that funding for the formulation of NAPs includes funding for the setting up and design of the NAP process over a two to three year period, and that the financial needs are estimated at USD 500,000 to USD 1 million. Other Parties also stressed the need for funding for NAP implementation.

F. Funding mechanisms and access to funding

32. Parties referred to the need to build upon LDCF support. They mentioned that funding should be available through both new and existing institutions/mechanisms, and that guidance should be given to both the GEF and Green Climate Fund (GCF) to fund the formulation and implementation of NAPs. They indicated that, where relevant, support should be separate and made available through dedicated windows and mechanisms.

33. Some Parties also mentioned that aside from modalities to access resources through the implementing entities, there should also be modalities for direct access to enabling activities. One Party stressed that funding should be provided through direct access with no strings attached, and that it must be additional to development funding. Another Party stressed that support should be seamlessly delivered beyond 2012.

34. Parties saw collaboration as an important factor, and referred to the need for the entity or entities entrusted with the financial mechanism of the Convention, as well as other partners, to collaborate to make available the necessary financial arrangements.

G. Support through a diversity of partners

35. Parties agreed that multiple avenues exist to provide support to enable adaptation planning and the integration of climate change into all relevant sectors, and that all relevant channels should be used. Many Parties felt that LDCs need a diversity of partners to support the NAP process, and another Party stressed that all partners should implement the NAP as a common agenda. Some Parties indicated that institutions in developing countries should participate in research and development activities, and programmes of the NAP process, and that this should be coordinated by the UNFCCC secretariat.

36. A Party noted that the Adaptation Committee (AC) and the Nairobi work programme on impacts, vulnerability and climate change could provide scientific and technical support relevant to elements of the NAP process. The Nairobi work programme, through its partnership model that includes a database of calls for action to which a wide variety of partners can respond, could connect the diverse needs and interests of LDCs with those partners best suited to provide support.

37. Parties, in their submissions, gave examples of channels through which they provide technical and financial support bilaterally as well as multilaterally, and through international institutions whose work is relevant to planning for adaptation. Parties also gave examples of global-, regional- and national-level activities and programmes.⁶

38. In submissions by United Nations organizations, specialized agencies and other relevant organizations, support programmes were also highlighted. The submission from FAO discussed its Framework Programme for Climate Change Adaptation, which supports countries on climate change adaptation within the agricultural sector. It also mentioned that the Commission on Genetic Resources for Food and Agriculture has acknowledged the

⁶ Please refer to the submissions for the full list of initiatives and programmes as mentioned by Parties.

need to address climate change in the Commission's Multi-Year Programme of Work. In light of the latter initiative and commitment, FAO mentioned that it is ready to support LDCs and other developing countries in the NAP process through, inter alia, sector-specific technical assistance; awareness raising; capacity development, and engagement with the LEG and relevant proposed support programmes.

39. The United Nations International Strategy for Disaster Reduction (UNISDR) acknowledged that the decision of the COP on NAPs provides a helpful context for efforts to reduce disaster risk and support LDCs, in particular, to adapt to climate change. The submission highlighted support that is available from UNISDR and its partners to address disaster risk with relevant areas of the initial guidelines of the NAPs. In the context of the NAPs, it highlighted existing assessments that have been done at the national and regional levels of institutional arrangements for managing climate-related risks, and mentioned tools that support the assessment of risk to climate related extreme events. It also outlined United Nations programmatic support for development plans and policies at the national level, which is coordinated through the United Nations Development Assistance Framework; and discussed participatory stakeholder consultative efforts under way through different programmes. UNISDR also mentioned that the Hyogo Framework for Action is committed to ensuring that sustainable development efforts address the risk of climate extreme events, and highlighted that the regular monitoring by countries of efforts to implement the Hyogo Framework for Action is aligned with the monitoring and review included in the NAP guidelines.

40. The World Bank's submission highlighted that the bank is willing and ready to share its experiences, knowledge products and tools; and to assist LDCs in the NAP process in the future. It noted that lessons learned under the PPCR process can be applied to the NAP process. It highlighted that numerous countries are already integrating climate change into national strategies, and that sound analytical, economic and sectoral work enhances the quality of dialogue and has the potential to inform the development and delivery of investments in support of climate resilient development in countries. It also discussed the need for access to, and management of, reliable and quality climate and climate-related data, information and synthesis products to support enhanced decision-making. Like UNISDR, the World Bank submission mentioned that it is imperative that the NAP process takes an integrated approach to disaster risk reduction and climate change adaptation, and like the International Organization for Migration (IOM) submission, it also mentions the need to take social dynamics into account. It also saw synergy between the adaptation and mitigation agendas as important.

41. The IOM noted that it is important for NAPs to broaden opportunities for the greater inclusion of specialized organizations, and that adaptation planning should factor in human mobility considerations given the growing impact of climate change on livelihoods and human mobility. The submission elaborated how IOM is directly concerned with, and can offer support related to, climate induced migration, displacement and related relocation planning, humanitarian preparedness, responding to displacement induced by natural disasters, livelihood stabilization programmes for environmentally vulnerable communities, and other migration activities related to climate change impacts. It highlighted the organization's work to support migration and adaptation activities, particularly through its development fund and capacity-building pilot projects, which include research, policy dialogue, capacity-building, partnership, legal research, advocacy, and operational activities.

42. The World Health Organization's submission reflected that the health community has, in recent years, become much more engaged in climate change issues through UNFCCC mandates and through strong political mandates from the international health governing bodies, including the Health Assembly (resolution WHA 61.19), as well as at the

regional level (e.g. through the Libreville Declaration and the Luanda Commitment). The submission notes that these political advancements are supported by advances in technical guidance and in health adaptation projects, and as a result, the health community is equipped to engage in the NAP process. Ways in which the health community currently supports national adaptation planning include assessments; awareness raising; technical support and policy support (including for vulnerability and adaptation assessments, projects and programmes, and national strategies and plans); supporting the integration of adaptation measures; and sharing lessons learned and technical resources.

H. Possible support programmes for the national adaptation plan process

43. The United Nations Development Programme and the United Nations Environment Programme proposed a global support programme for the NAP process, partnering with other interested agencies and organizations to provide support. Among a number of objectives, the programme can serve as a conduit through which targeted financial and technical assistance can be cost effectively and efficiently delivered to LDCs to commence and advance their respective NAP processes. Support would be based on country-specific needs, and centred on three themes: technical guidance and methods; institutional capacity assessment and development support; and knowledge, reporting and tracking.

44. The submission noted that the programme can adopt a staged approach, with the outputs of phase 1 including the following:

- (a) National project proposals developed to secure financing for the preparation of NAPs;
- (b) Country needs assessments finalized for the design of the NAP process;
- (c) Detailed country specific NAP process implementation road maps, which countries will use as a blue print to advance the NAPs;
- (d) At least two progress reports to the governing body of the programme and donor(s) on how the country has advanced its NAP-related work, including plans for the following three years.

45. The submission also discussed the proposed phase 2, in which the programme would deliver both technical and financial support to the countries, including on substantive reporting and monitoring. The outputs of the second phase would include the following:

- (a) A package of tools and methods for the NAP preparation process;
- (b) NAP process documents prepared and submitted to the secretariat, as per guidance from the COP (see decision 5/CP.17);
- (c) Fully operational NAP processes in place at the national level including, but not limited to, a NAP interministerial coordination mechanism, sectoral expert teams, revised national and local plans, and policy papers, investment papers, etc.;
- (d) A set of indicators to monitor the impact of the NAP process.

I. Other areas of support

46. Some Parties proposed that efforts undertaken by committees and bodies, in particular the Adaptation Committee, the Nairobi work programme and the Technology Mechanism, could be structured into a knowledge hub on adaptation in terms of needs, practices and technologies. They proposed that the Adaptation Committee should provide guidance, monitoring, evaluation and review of the NAP process, including by way of

considering regular feedback on relevant matters from the LEG, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), the Technology Executive Committee and the Standing Committee of the GCF.

J. Reporting

47. A Party indicated that support for reporting on effective strategies for both the formulation and implementation elements of the NAP process will help to track progress in adaptation action and allow for the exchange of knowledge, lessons learned and good practices. It was proposed that national communication guidelines on adaptation could be improved so that they reflect and support the NAP process, and LDCs could report on progress made in the NAP process every four years through their national communications. The CGE, possibly in collaboration with the AC once it is up and running, could then provide recommendations on how to revise the adaptation chapter in national communications to facilitate this reporting on progress, in line with the NAP process.

IV. Possible next steps

48. A Party indicated that guidance on support for the NAP process in LDCs should flow from the work of the LEG on technical guidelines while maintaining flexibility and a country-driven focus, and that discussions at the thirty-sixth session of the SBI should focus on defining a timeline for the outcomes of the work of the LEG on support for the NAP process. That Party is of the view that the LEG should complete those tasks critical to clarifying the NAP process⁷ before Parties can provide detailed guidance on effective means of support for that process.

49. Some Parties were of the view that a decision at the eighteenth session of the Conference of the Parties should request the GEF to make available support to the LDCs as early as possible and on the basis of agreed full cost funding. In addition, that decision should mandate the organization of an inception workshop by March/April 2013.

50. Some Parties also mentioned that there is a need for a clearly outlined set of next steps and milestones for evaluating success, as well as indicators to evaluate the fulfilment of the provision of support.

⁷ Preparation of technical guidelines for the NAP process, arrangement for a review of these guidelines, and identification of support needs for the process of formulating and implementing NAPs.