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Submission by the United Nations Development Programme and the United Nations Environment Programme to support the National Adaptation Plan (NAP) Process in Least Developed Countries (LDCs)

I. Background

1. At the Seventeenth Session of the Conference of the Parties (COP-17) of the United Nations Framework Convention on Climate Change (UNFCCC) (Durban, December 2011)¹, Parties adopted a decision on National Adaptation Plans (NAP). Through this decision the Parties requested the Global Environment Facility (GEF), as an operating entity of the financial mechanism, through the Least Developed Countries Fund (LDCF), to consider how to finance the preparation of the national adaptation plan process for the Least Developed Country (LDC) Parties and also invited the United Nations (UN) agencies, amongst others, to consider establishing support programmes within their mandates, which could facilitate financial and technical support to the LDCs to advance the NAP process.
2. In response to this invitation, United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP) welcome the opportunity to provide this submission of their plan to support the NAP process in LDCs. UNDP and UNEP look forward to working within the UNFCCC process and partnering with other interested agencies and organizations to provide this critical support.
3. This submission draws upon a series of consultations between UNDP and UNEP, representatives of LDCs (most recently in Vientiane in 2011² and Durban 2011) and GEF Secretariat, among others, to-date. It builds upon the submission made by: (a) UNDP in 2011 to the Subsidiary Body for Scientific and Technological Advice (SBSTA) on the process to enable least developed country Parties to formulate and implement national adaptation plans, evolving from their experience in preparing and implementing NAPAs; and (b) UNEP's presentation to the LDC Expert Group (LEG) on experiences in supporting the NAPA process and on the expert consultations during a UNEP-led workshop in February 2012, in Nairobi, for the development of operational guidelines for Ecosystem-Based Adaptation .
4. It should be noted, the ideas and proposals contained in this submission will most likely be refined and changed, as consultations continue to take place over the coming months with LDCs themselves and the LEG³. In particular, this submission has been updated following additional consultations with the LEG in Bhutan in March 2012. Additionally, as Implementing Agencies of the GEF, UNDP and UNEP will continue to further discuss and collaborate with the GEF Secretariat. It should be further noted that this submission is made with the understanding that the Secretariat of the GEF, as per the request made by COP 17 and contained in paragraphs 22 to 24 of *FCCC/CP/2011/L.8/Add.1*, has also prepared a complimentary paper dedicated to the issue of financing for the NAP process.

¹ Contained in paragraphs 22 to 24 of the decision text included in document FCCC/CP/2011/L.8/Add.11.

² UNDP and UNEP participated in the UNFCCC meeting on NAPs in Vientiane (2011) where a number of country specific needs for the NAPs were debated and discussed during formal and informal sessions.

³ Both agencies made a presentation at this meeting on the architecture of the proposed Global Support Program for the NAP process .

II. Responding to the invitation made by the COP in Durban

(a) Key objectives and principles that will underpin UNDP-UNEP support

5. Following the lead up to, and subsequent to COP-17, UNDP and UNEP have engaged in a series of bilateral consultations on how they could support developing countries, especially LDCs, with their NAP process. These discussions have focused on what UNDP and UNEP could do to design, establish and operationalize a Global Support Programme (GSP) for NAPs (referred to as GSP here onwards). In this context and underpinning the COP-17 decision on NAPs, the following key objectives and principles will be considered to ensure that the NAP process will, but not be limited to:

- Help countries to reduce vulnerability to climate change impacts by building adaptive capacity and resilience and facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities;
- Support countries to establish a planning process over the mid- to long-term to support the reduction of vulnerability to the impacts of climate change;
- Be both about a plan and a process;
- Be more comprehensive and broad-based than the NAPAs, and attempt to ensure wider participation of relevant sectors;
- Seek to, iteratively and continuously, identify and implement measures that build adaptive capacity and resilience, and facilitate the integration of climate change adaptation into relevant new and existing national and sub-national policies and programmes;
- Incorporate experiences from LEG surveys on national considerations for medium- and long-term adaptation processes, or the NAP process;
- Build on guidance received from the COP, the Adaptation Committee and LEG;
- Flexibly build on existing networks and expertise in-country to avoid duplication of processes and ensure knowledge from existing teams and committees is captured;
- Build on and complement other ongoing and institutionalized processes like the National Communications (NCs), Technology Needs Assessment (TNAs) and National Adaptation Program of Actions (NAPAs) as well as other national and sub-national plans; and
- Be country driven, multi-sectoral, gender sensitive, transparent, and draw upon best available scientific data and robust methodology.

6. Any support provided by UNDP and UNEP will take into account over 20⁴ years of experience and technical expertise that exists within the two organizations in assisting countries, especially LDCs, to foster an enabling environment for pursuing sustainable climate resilient development and making sure that adaptation measures are environmentally sound and sustainable in the long-term. These experiences and lessons learnt suggest that to support LDCs with the NAP process organizations will require:

- An ability to identify, vet, and access expertise on relevant thematic areas such as vulnerability impacts and assessments, climate modeling, economics of adaptation, development of investment strategies, advancing public and private sector

⁴ UNDP and UNEP have provided technical, administrative and financial support to countries, including LDCs, to enable them to meet their obligations and commitments under the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on Biological Diversity (CBD), the United Nations Convention to Combat Desertification (UNCCD) and the Stockholm Convention on Persistent Organic Pollutants through support for National Capacity Self-Assessments (NCSAs), National Communications (NCs), National Biodiversity Strategies and Action Plans (NBSAPs), Technology Needs Assessment (TNA) for climate change technologies, National Reporting for CBD, and UNCCD Country Support Programme (CSP) and the National Dialogue Initiative (NDI.) National Adaptation Plans for both UNCCD and the Stockholm Conventions.

collaboration in adaptation, integrating gender into climate change risk management strategies, establishing institutional coordination mechanisms, and facilitating broad based stakeholder engagement;

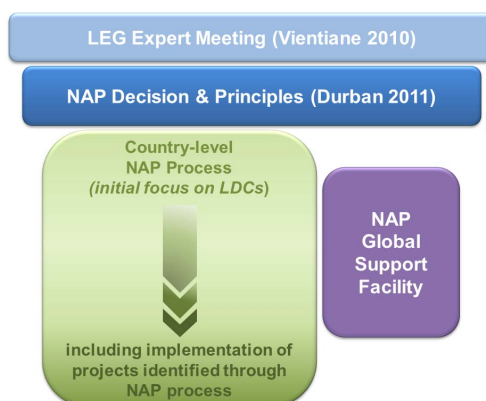
- The capacity to examine current landscape on climate finance in LDCs, including support that is already being delivered to countries via multiple channels within and outside of the UNFCCC process, and other opportunities that may have high transaction costs and other barriers that make it difficult for LDCs to access; and
- The capability to ensure that delivery of support services is demand-driven and recognises the importance of a country-owned, country-driven process⁵.

(b) Initial ideas on the role and scope of the UNDP-UNEP Global Support Programme on NAPs

7. It is envisaged that the UNDP-UNEP initiated GSP will serve as a conduit through which targeted financial and technical assistance can be cost-effectively and efficiently delivered to the LDCs to commence and advance their respective NAP process. At present, the intent is to work towards operationalizing the GSP from January 2013 until December 2018 in a phased approach: A phased approach will be adopted for the operationalization of the GSP:

- Phase I (Jan 2013-Dec 2014): Supporting LDCs to lay the groundwork and initiate preparatory activities for NAP process; and
- Phase II (Jan 2015- Dec 2018): Assisting LDCs during the implementation of the NAP formulation and design process, including reporting as the process advances.

Pathway and Context for Establishing a GSP for NAPs



8. The initial GSP is intended to cover Phase I. Phase II will be developed based on the experiences and needs of the LDCs, as well as any future guidance from the COP, the Adaptation Committee and the LEG. As guidance from the COP and experiences from national activities from Phase I of the NAP process unfold, the GSP will seek further resources to expand its activities to assist countries implement Phase II. However, as the GSP will adopt a flexible, country-by-country approach, countries wishing to move from Phase I to Phase II earlier than indicated in this document, will be supported, resources and mandates permitting.

9. In Phase I, a fully staffed and financially resourced GSP will assist all LDCs with preparation for the commencement of the NAP process. The GSP will assist countries, when requested, with their efforts to identify country-specific needs through national consultations and necessary stocktaking exercises. This needs assessment will recognize both country-driven

⁵ Independent evaluations of enabling activities undertaken by both agencies show that technical support should be provided in a flexible package of options but targeted to address the specific needs and conditions of countries. In addition, countries should know about this package as they are planning their enabling activity proposals, so that support services can be planned and budgeted for. For more information on evaluations, visit www.undp.org/evaluation/, www.unep.org/EQU and www.thegef.org/gef/eo_office.

expectations from the NAP process as well as inputs needed to realize that expectation. In addition, the GSP will help each country with developing work plans based on recognition of needs, and assist with securing and delivering finance to enable each country to initiate its country-specific NAP process.

10. Based on guidance provided by the COP (and also initial guidelines included in the COP17 decision text), the Adaptation Committee, LEG and other UNFCCC bodies the GSP could assist countries (as requested) with the following:

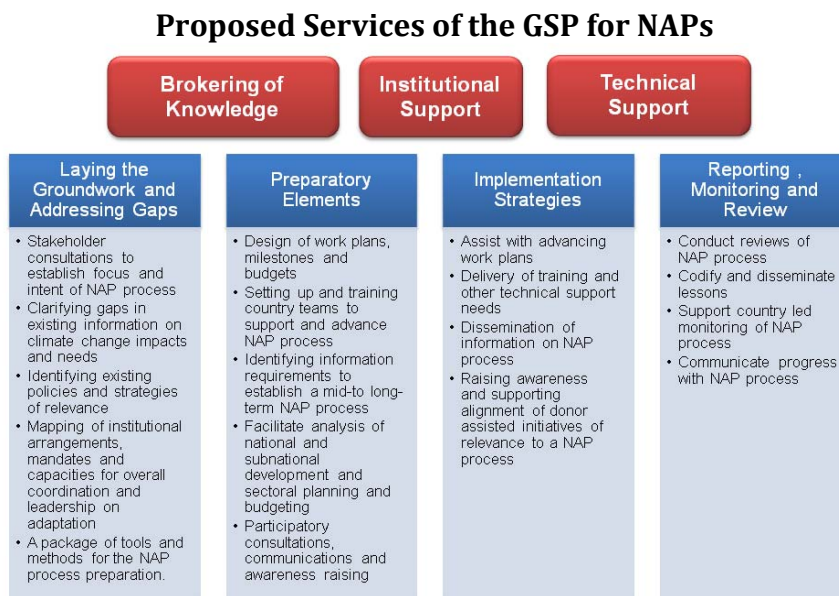
- (a) Assisting countries with expedited financing (through the LDCF and other sources) to quick start activities to implement the NAP process;
- (b) Defining expectations including key deliverables (outcomes and outputs) for the NAP process within each country's own context;
- (c) Identifying key information gaps, priority needs and other inputs to advance key deliverables during the country specific NAP process; this will also build on other relevant development and low emission climate resilient development priorities that are planned and underway;
- (d) Developing a roadmap to guide the advancement of the NAP process in each country including activities, inputs, key milestones and financing requirements;
- (e) Securing and delivering finance for LDCs based on national implementation arrangements, setting up and clarifying reporting and tracking progress as well as other support needs related to NAP related activities;
- (f) Identifying potential partnerships with national, regional and global institutions that can provide technical support to the NAP process when demanded by countries.

11. The output of Phase I will include:

- National project proposals developed to secure financing for the preparation of the NAPs;
- Country needs assessments finalized for the design of the NAP process;
- Detailed country specific NAP process implementation roadmaps developed, which countries will use as a blue print to advance the NAPs; and
- At least two progress reports to the governing body of the GSP and donor(s) on how the country has advanced its NAP-related work, including plans for the following 3 years.

12. During Phase II (expected to be from Jan. 2015-Dec. 2018; or earlier if any country is able to make rapid progress with Phase I), the GSP will deliver technical and financial support to countries, including on substantive reporting & monitoring. Experiences with other similar initiatives suggest that during this time countries are likely to want to draw from a menu of services including but not limited to: vulnerability and impact assessments (VIA); climate modeling, assessing the cost of adaptation options, developing investment strategies and roadmaps, stakeholder engagement strategies, advancing public and private sector collaboration in adaptation, gender, institutional coordination mechanisms. Technical support needs will be continuously identified during the NAP process based on in-country consultations and capacity assessments. Workshops and other forums will be used to generate ideas and exchange views on how to best address the countries' needs. Finally, UNDP and UNEP will provide technical and financial oversight, including playing a critical role in coordinating ongoing efforts of relevance to the NAPs, at the national level and that is supported by development partners under the UNDAF.

13. The output of Phase II will include:
- Package of tools and methods for the NAP process preparation;
 - NAP process documents prepared and submitted to UNFCCC, as per the COP guidance;
 - Fully operational NAP process in place at the country level including, but not limited to, a NAP inter-ministerial coordination mechanisms, sectorial expert teams, revised national and local plans, and policy papers, investment papers, etc.
 - Set of indicators to monitor the impact of the NAP process.
14. It is envisaged that the potential services the GSP is likely to provide will be organized around key stages already identified by Parties (*laying the groundwork, preparatory elements, implementation strategies, reporting & monitoring*) and around the following three thematic areas:
- (i) Technical guidance and Methods;
 - (ii) Institutional Capacity Assessment and Development Support; and
 - (iii) Knowledge, Reporting and Tracking.
15. Depending on country specific demand, each LDC will be able to request targeted support from the GSP to meet needs. Delivery of assistance will be based on a number of principles including availability of country-based and/or region-based expertise as well as cost-effectiveness principles.



16. In terms of support on **technical guidance and methods** to advance NAPs, it is envisaged that the GSP, in coordination with the Adaptation Committee and LEG, could help countries understand technical guidelines and provide training to utilize best available and tried and tested methods, including development of training packages, for advancing their respective NAP process. The GSP will also be able to provide impartial advisory support and direction to countries on what type of assessments are needed, for what purpose, the scope of such assessments, including their likely usefulness and role in understanding the context for advancing the NAPs. The GSP could also develop and update indicators for reporting, monitoring and evaluating progress, as required by the COP decision. It can also assist countries, if requested, with reporting and monitoring, including reviewing documents prior to

their official submission. The GSP may also provide technical assistance directly to national country teams and/or enable access of national teams to regional, global and other information and technical expertise through a variety of partnerships.

17. A second potential area of focus for the GSP is **institutional capacity assessment and development** support. The GSP could actively assist countries to undertake capacity needs assessments. Working in coordination with other donor supported capacity development programmes, the GSP could assist countries to strengthen the capacities needed to effectively advance the NAP process by identifying and aligning with other ongoing and planned initiatives in addition to developing new initiatives. The GSP may also be able to support national teams to set up multi-sectoral country coordination mechanisms (national and sub-national efforts to establish multidisciplinary, cross-ministerial committees and sectorial technical sub-committees, as relevant) that can effectively advance the NAP process.

18. For the NAP process, **knowledge, reporting and tracking** support could place emphasis on assisting countries with a wide variety of knowledge products and services and in brokering best available scientific and technical data, information, methods and other materials, as required. In addition, the GSP could maintain a repository of key technical documents of relevance to countries and also codify best practices and lessons learned. It would facilitate, vet and assist with accessing best available scientific information and skills that are of relevance to and demanded by countries. South-south collaboration could be promoted actively by building relationships and partnerships. This pillar will necessarily build on the existing UNDP and UNEP supported knowledge networks and platforms such as the Global Adaptation Network (GAN) and its regional networks and the Adaptation Learning Mechanism (ALM). The GSP will also track and report on progress with NAP process in LDCs to the general public (through a dedicated website) so that interested donors, technical institutions, etc., can be informed about progress as well as identify opportunities to further compliment assistance to the countries.

(c) Operation of the GSP

19. Details of the GSP governance structure will be outlined in the UNDP-UNEP project document. In brief, it is expected that a Project Board (or steering committee) for the GSP will comprise of UNDP, UNEP, GEF, other donors, Adaptation Committee, LEG, and/or others, as necessary. Regular meetings of the Project Board will help ensure that at all times during its implementation the GSP remains cognizant of the evolving strategic orientation provided by the COP and Adaptation Committee of the UNFCCC. The governance arrangements for the GSP could also be designed such that there is scope for interaction with the LEG as appropriate. The programme will undergo monitoring as per standard rules of UNDP and UNEP.

20. As other developing countries that are not LDCs start developing their NAP process and programmes the GSP will be in a position to share lessons, best practices, and offer support as and when necessary.

21. It is expected that the NAP process for LDCs will be completed in a timely manner to allow for implementation of priorities to be synchronized with the likely operationalization of the Green Climate Fund (GSF). The GSP will be able to provide information pertaining to NAP implementation to the GCF Governance body as well as to other interested donors.

22. Finally, the design of the GSP will be guided by the following principles: building on the comparative strengths of UNDP and UNEP and on the UN presence in countries and long-

standing development partnerships with countries to provide policy and advisory services; transparent accountability in fund management and administration; speedy and effective procedures for delivery of service; focus on delivery at country level; , ability to draw on technical expertise from other sources and organizations, as needed, including NGOs, international organizations, research and capacity-building institutes and private companies; cognizance of evolving guidance from the UNFCCC COP; complementarities with other country-specific and global initiatives of other UN Agencies and bi-lateral donors; , ensuring equitable and efficient distribution of benefits across all LDCs; and, actively contributing to in-country coordination to avoid duplication of efforts with other donors and Agencies.

III. Next steps towards operationalizing the GSP

23. The intention of UNDP and UNEP, as discussed with GEF Secretariat, is to establish the GSP to quick start Phase I, subject to availability and approval of financing, by December 2012. To-date, discussions have taken place with the GEF Secretariat on establishing the GSP with financing from the LDCF, based on the direction provided by the COP 17 decision. Efforts will also be made to leverage additional resources from other sources, including partnerships, as per the COP decision.

24. UNDP and UNEP, in partnership with the GEF Secretariat, will continue to engage with the LEG and other interested parties before the UNFCCC sessions in May 2012 to further discuss ideas contained in this paper as well as those submitted by the GEF on financing for the NAPs. Following the presentation made by both Agencies at the LEG meeting in Bhutan on the architecture of the GSP for the NAP process, including engaging the LEG on the services to be provided by the GSP and taking into account the feedback from the LEG, UNDP and UNEP, in consultation with the GEF and other interested institutions, will submit a joint medium-sized project for endorsement to the GEF CEO. The submission will be made as soon as the documentation is finalized and no later than the June 2012 Council meeting. Additionally, based on the material presented in this paper, UNDP and UNEP will provide an update to the SBI meeting in May 2012 on the progress of developing the GSP proposal contained in this document.

25. Subject to endorsement by the GEF CEO of the UNDP-UNEP project for the establishment of a GSP for the NAPs, it is anticipated that UNDP and UNEP will initiate steps to operationalize the GSP, including a formal launch at a side event at COP/CMP 18 in December 2012 in Qatar.