

SUBMISSION BY LITHUANIA AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

This submission is supported by Albania, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Vilnius, 19 September 2013

Subject: Experiences on the Application of Guidelines for the National Adaptation Plan Process for Least Developed Countries

1. General:

The EU welcomes the invitation to submit views and information on experiences on the application of guidelines for the National Adaptation Plan Process for Least Developed Countries (LDCs) in accordance with decision 5/CP.17, paragraph 7.

Adaptation to the adverse effects of climate change is and will continue to be one of the most pressing challenges facing all countries, and especially so in particularly vulnerable countries. We strongly believe that national adaptation planning process would be important for all Parties to address the long term impacts of climate change in the spirit of the Articles 4.1.(b) and (f) of the Convention. As such, we recognize that adaptation to the adverse effects of climate change needs to be a country-driven process, and it will require longer term preparation for the future, even in view of uncertain and incomplete climate information and predictions.

Against this background, the EU welcomes the decisions to establish a national adaptation plan process (1/CP.16, paragraph 15) and to adopt the initial guidelines (5/CP.17, paragraph 6) for the formulation of national adaptation plans by LDC Parties. The national adaptation plan process thus provides a framework to facilitate, and where appropriate, guide the efforts of countries in preparing and planning their adaptation efforts.

2. On the guidelines:

Even though Parties are not compelled to utilize the guidelines provided in the national adaptation plan process, this process and the guidelines offer a useful and valuable opportunity for them to enable strengthen the knowledge base on vulnerability and adaptation through joint learning. This process could contribute to the efforts of the LDCs to assess their vulnerabilities and to build resilience in the long-term, to mainstream climate change risks and to address adaptation planning in the broader context of their sustainable development planning, in a context of specific national circumstances. The guidelines stimulate the readiness of a country to cope with the adverse effects of climate change. Integral planning is needed to prepare in advance of events which might have a devastating effect on society, economy and ecosystems. The guidelines provide a *reference framework* that could help guide efforts, nurture joint learning and as such, strengthen the preparation of national plans, programmes and other relevant strategies.

We believe that, as stated in the initial guidelines, country-driven, coordination with sustainable development and participatory consultations are key elements for a successful long-term adaptation planning. The integration of the national adaptation plan process into the preparation of sustainable development plans and policies as well as to relevant sectoral policies and plans, or in other words the mainstreaming of the national adaptation plan process, is crucial. In this context we want to note that there are also initiatives and projects that build the capabilities of the countries to plan strategically. Just to pick an example we believe that the initiatives that aim to enhance countries' capabilities related to climate finance readiness can help countries in long-term national adaptation planning and therefore, need to be linked appropriately to the national adaptation plan process, as was for instance discussed in-depth in Germany's side event¹ in Bonn in June 2013.

We would also like to note that adapting to climate change is a process that requires continuous effort over time. Planning to adapt is not a "one off" activity and as such cannot be rushed, but one that has to be preceded by comprehensive, iterative assessments of development needs and climate vulnerabilities called for in 5/CP.17, Annex, paragraph 2.

The EU welcomes the emphasis in the Durban decision that the process should not be prescriptive, nor result in the duplication of efforts undertaken already in countries, but should rather facilitate country-owned, country-driven results-oriented action. The EU notes that countries, and in particular Least Developed Countries (LDCs), have already started processes to identify, plan and respond to the risk of climate change. While some of these processes are conceived with a specific climate change focus, they are often already integrated in the context of policies, plans, programmes and strategies in sectors, such as agriculture, water, infrastructure development and energy. Therefore we would like to re-emphasize the agreement in Durban on the fact that the formulation of national adaptation plans should build on and complement existing adaptation planning, which will require a comprehensive stock taking at the outset of the process.

¹ "NAP, adaptation costs and climate finance readiness – how does it all come together?" on Monday, 10 June 2013.

Furthermore, due to the long-term and iterative character of the national adaptation plan process its outputs vary and develop during the process according to country specific needs. We firmly believe that it is the *process* that is the key to improve the ability to adapt in the long-term not a *plan* as such. A coordinated, participatory process can lead to a finding on a framework that suits best for a given country to prepare itself for changes in the long run.

As an input to help to understand the process, the EU warmly welcomes the technical guidelines prepared by the Least Developed Countries Expert Group (LEG) and the related NAP Expo during SBI 38, as well as other workshops arranged by the LEG. We believe that the technical guidelines together with the initial guidelines will help the LDCs and other developing countries, as invited in the 5/CP.17, paragraph 28, to start and assist them through the national adaptation plan process in a country-driven manner, keeping in mind that both initial and technical guidelines are there only to facilitate the process and not to prescribe it in detail.

The EU looks forward on receiving information through National Communications, on what measures the LDCs and other developing country Parties have undertaken in going through the National Adaptation Plan Process as well as their experiences on utilizing the guidelines. We would appreciate receiving information on how the national adaptation plan process builds on and complements existing adaptation planning, as called for in the Initial Guidelines (5/CP.17, Annex, paragraph 4. e); and on how the support provided by the Global Environment Facility on the one hand (12/CP.18 paragraph 1.) and by parties and relevant organizations on the other hand (12/CP.18 paragraph 7.) is being coordinated and integrated in implementing the guidelines. Furthermore, we consider highly important to adjust countries' monitoring and evaluation systems, so that the results orientation and the effectiveness of the national adaptation plan process can be tracked and reported on, as called for in 5/CP.17, Annex, paragraph 6.(b), and could give feedback to the continuous and iterative adaptation planning.

Finally, given that there is not yet much experience on using the initial guidelines, we see no need to adjust them at the moment. As the technical guidelines prepared by the LEG have only just been released, and as the Parties may have not had sufficient time to apply the initial guidelines. However, keeping in mind that there are already countries that have prepared national long term adaptation plans, we would like to invite them to share their experiences e.g. through submissions in order to help other countries in their similar processes. In particular, as Nepal also points out in its submission on behalf of the Least Developed Countries, the experiences of the least developed countries and other countries participating in the Pilot Programme for Climate Resilience (PPCR), and the analyses and adaptation strategies they already developed in the course of the PPCR, would be very valuable input to the national adaptation plan process in other countries.

3. Some examples on utilizing the initial/technical guidelines:

Given that the EU submission dated 13 February 2012 provides multitude of examples on how the EU supports different phases of adaptation planning in developing countries, and that more examples can be found in the recent submissions by the EU, which are available in the compilation documents FCCC/SBI/2010/MISC.6, FCCC/SBI/2011/MISC.9, and FCCC/SBI/2013/MISC.4 in their chapters specifically dedicated to adaptation support, this time we would like to provide some focused examples from the point of view of the initial guidelines.

The annex lists some examples on the support provided by the EU, namely Germany, Netherlands, Spain, Sweden, UK and the European Commission, to the various stages of the National Adaptation Plan Process, as outlined in the initial guidelines provided in Decision 5/CP.17, on which the LEG's Technical Guidelines are based.

Since processes of adaptation planning equivalent to key elements of the National Adaptation Plan Process are already in place in many countries and they have been supported by the EU and others, we also include them here, keeping in mind the agreement in Durban that the formulation of National Adaptation Plans should build on and complement such existing adaptation planning. Since the EU has a strong focus on the NAP process being results-oriented, we are listing Monitoring and Evaluation (M+E), as the key element to strengthen results-orientation, in a column of its own.

Besides supporting developing countries in their adaptation planning, the EU is preparing itself for becoming more climate-resilient. Earlier this year the Commission adopted the Communication "An EU Strategy on adaptation to climate change"². It aims to contribute to a more climate-resilient Europe and enhances the preparedness and capacity to respond to the impacts of climate change at local, regional, national and EU levels, developing a coherent approach and improving coordination. The EU Adaptation Strategy is articulated around three objectives which are in line with basic principles of the initial guidelines. First, Member States are encouraged to adopt comprehensive adaptation strategies. In this respect, the EU Adaptation Strategy provides guidelines to help Member States formulate adaptation strategies³, as well as guidance and funding to build up adaptation capacities and take action. Climate change adaptation in cities will also be supported by launching an initiative through which local authorities can make a voluntary commitment to adopt local adaptation strategies and awareness-raising activities. Second, the EU Adaptation Strategy promotes better informed decision-making by addressing gaps in knowledge about adaptation and further developing the European Climate Adaptation Platform⁴ (Climate-ADAPT) as the 'one-stop shop' for adaptation information in Europe. Third, it promotes the mainstreaming of adaptation in EU policies for vulnerable sectors, such as agriculture, including by ensuring that Europe's infrastructure is made more resilient and by encouraging the use of insurance against natural and man-made disasters.

² COM(2013) 216. Available at : <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:DKEY=725522:EN:NOT>

³ http://ec.europa.eu/clima/policies/adaptation/what/docs/swd_2013_134_en.pdf

⁴ <http://climate-adapt.eea.europa.eu/>

Annex:

Elements of the NAP Process as outlined in the Initial Guidelines:	Examples of the support provided by Germany, Netherlands, Spain, Sweden, UK and European Commission in connection to the different elements:		
	NAP (in the strict sense)	Adaptation planning (in the broader sense)	M+E
A. Laying the groundwork and addressing gaps Activities undertaken under this element would be planned with a view to identifying weaknesses and gaps in enabling environments, and addressing them as necessary, to support the formulation of comprehensive adaptation plans, programmes and policies, through, inter alia:			
(a) Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership on adaptation;	Conceptually: (i) The <i>Smart National Adaptation Planning</i> (SNAP) Tool. The Tool provides an entry-level stock taking of arrangements in place for the NAP process, but also of remaining gaps, thereby allowing the identification of priorities. It is based on 7 success factors for NAP and implemented in a multi-stakeholder participatory process. (ii) A <i>Guidance for Analysing Development Planning Processes</i> , currently under development. It will facilitate the analysis of relevant institutional arrangements for development planning and the identification of entry points for adaptation mainstreaming. Test/Implementation: (i)	REGATTA's ⁵ objective is to strengthen capacity and knowledge sharing of climate change technologies and experiences for adaptation and mitigation in Latin America and the Caribbean. It provides demand technical assistance to stakeholders in the areas identified as priorities by the countries. Its online knowledge platform facilitates the identification of institutions and experts on climate change in the region, and the provision of access to relevant and timely information on climate change. Among its activities a Caribbean Community of Practice is foreseen to strengthen the knowledge base in the Caribbean sub-region on	

⁵ Regional Gateway for Technology Transfer and Climate Change Action in Latin-American and the Caribbean (REGATTA, UNEP) <http://www.climatechange-regatta.org/index.php/en/>

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	<p>The Tool has been pre-tested in Mauritania (12/12) and Tunisia (06/12). Full implementation is currently under preparation for Mauritania, Tunisia and Togo. (ii) The piloting of this method is currently under preparation.</p>	<p>climate change adaptation issues.</p> <p>CCCA (Cambodia Climate Change Alliance) is a comprehensive approach to systematically address climate change and disaster risk challenges in Cambodia. The overall objective of CCCA is to strengthen the capacity of the NCCC (a mandated Government coordinating and policy support entity for all aspects of climate change) to fulfil its mandate to address climate change and to enable line ministries and civil society to implement priority climate change actions. It is a multi-donor initiative funded by EU, Sida, Danida and UNDP. The main achievements to date are: the development of a Cambodia Climate Change Strategic Plan (that will provide the basis for Cambodia's NAP), the coordination with key line ministries in sectoral climate change plans has improved; 19 government and NGO projects have been approved, a Trust Fund has been established;</p>	

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		<p>Cambodia' negotiation capacity on climate change matters at the national and international level has been strengthened; a web-based climate change knowledge and information platform has been established, and a climate change public expenditure and institutional review has been finalised to strengthen governance and delivery of climate finance.</p> <p>In Ethiopia the UK has supported strengthening of capacity in climate institutions, including in the Ethiopian Government, via the Strategic Climate Institutions Programme.</p>	
(b) Assessment of available information on climate change impacts, vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels;	<p>Conceptually: The <i>Smart National Adaptation Planning</i> (SNAP) Tool contains assessments of the gaps and needs with regard to climate information on impacts, vulnerabilities and adaptation.</p> <p>Test/Implementation: See (a) above.</p>	<p>Conceptually: Developing the Internet platform⁶ that supplies climate data, as well as additional information to end users.</p> <p>Implementation: Developing a climate information system for Indonesia, including processing of historical</p>	<p>Conceptually: GIZ's approach for developing and implementing M&E for adaptation at the national level (see D.(b) below) conducts, in its first step ("Analyse and define the context for M&E"), an assessment of available information on climate change impacts, vulnerability and adaptation,</p>

⁶ www.ci-grasp.org

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		<p>data, set up of a data management system, and a dialogue of stakeholders.</p> <p>Assessment of available information on climate change impacts, vulnerability and adaptation has also been part of most activities listed under B.(c) below.</p>	<p>measures taken to address climate change at the national and regional levels.</p> <p>Test/Implementation: Such assessments were e.g. carried out in two regions of Morocco in the beginning of the process to integrate adaptation monitoring into their regional environment and sustainable development observation.</p>
(c) Comprehensive, iterative assessments of development needs and climate vulnerabilities.		<p>In Comoros, the GCCA supports the setting-up of a GIS database and the preparation of vulnerability maps (EU)</p> <p>In Yemen, IFAD's Adaptation for Smallholder Agriculture Programme, supported by the UK, is using GIS modelling approaches to enable analysis of rainfall trends and projections for the country</p>	See B.(b) below.
<p>B. Preparatory elements</p> <p>In developing NAPs, consideration would be given to identifying specific needs, options and priorities on a country-driven basis, utilizing the services of national and, where appropriate, regional institutions, and to the effective and continued promotion of participatory and gender-sensitive approaches coordinated with sustainable development objectives, policies, plans and programmes. Activities may include the following:</p>			
(a) Design and development of plans, policies and	Conceptually: Developing a <i>Guidance for the Preparation of NAP</i>	Sao Tomé: support to the design and development of an improved national	

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programmes by considering decision 1/CP.16, paragraph 14(a), to address the gaps and needs referred to in paragraph 2 above;	<p><i>Roadmaps</i>, based on the stock taking conducted with the <i>Smart National Adaptation Planning</i> (SNAP) Tool, see A.(a) above.</p> <p>Test/implementation: Planned for Mauritania, Togo and Tunisia.</p>	<p>strategy based on the integration of CC into the existing national strategies. (GCCA-EU)</p> <p>UK has been supporting Nepal to develop a framework for action on climate change including programmes in areas such as water management, disaster risk reduction, agriculture and health, and provide additional resources to reduce the vulnerability of the poor to existing and future climate shocks</p> <p>Through Partners for Resilience (Ethiopia, Philippines, Guatemala, India, Indonesia, Kenya, Mali, Nicaragua, Uganda) the Netherlands and five Dutch organisations contribute to planning for resilience against natural disasters, climate change and the deterioration of ecosystems.</p>	
(b) Assessments of medium- and long-term adaptation needs, and, as appropriate, development needs and climate vulnerabilities;		<p>Conceptually:</p> <p>A study is under way to measure and monitor climate resilience on aggregated levels using (inter-) national development statistics.</p>	<p>Conceptually:</p> <p>A standardized approach to assessing vulnerability at different levels (project, sub-national, national) is nearing completion. It draws strongly on the vulnerability assessment</p>

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		In the Comoros and in Burkina Faso, the GCCA action includes an assessment of policies, strategies, plans, legal and regulatory frameworks (EU)	approach implemented as part of the <i>German Adaptation Strategy</i> . Regularly repeated vulnerability assessments serve to monitor and evaluate effectiveness of adaptation-related interventions. Test/implementation so far in: Bolivia, Mozambique
(c) Activities aimed at integrating climate change adaptation into national and subnational development and sectoral planning;	Conceptually: The <i>Guidance for Analysing Development Planning Processes</i> aims at identifying entry points for adaptation mainstreaming in development planning, see A.(a) above.	Conceptually: Integration of adaptation into various strategies and programmes using the <i>Climate Proofing</i> approach. Implementation: Supporting the development of national climate strategies: Honduras, Indonesia, Tunisia, Lesotho, using a budget support approach (GCCA-EU), Mali (GCCA-EU), Gambia (GCCA-EU) Supporting the development of national adaptation strategies: Grenada, Philippines. UK support has contributed to enabling Kenya to develop its	

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		<p>National Climate Change Action Plan (NCCAP) and development of the Ethiopian Government's Climate Resilient Green Economy Strategy. UK is also supporting the multidonor Bangladesh Climate Change Resilience Fund (BCCRF) that supports the implementation of the national Climate Change Strategy and Action Plan. The plan prioritises adaptation and disaster risk reduction, and also addresses low carbon development, technology transfer and research. The fund is managed by Government of Bangladesh with the World Bank providing technical support and financial safeguards.</p> <p>Integration of adaptation into other national strategies and programmes: Bolivia: agricultural sector, Cameroon: strategy for rural sector development, India: joint forest management programme, Mali: programme for natural resources management, Morocco: strategy on poverty</p>	

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		<p>alleviation, Bhutan: integration of climate risks into the renewable natural resources and agriculture sector (GCCA-EU), Vanuatu: joint integration of adaptation and DRR into sector strategies (GCCA- EU) Mozambique: mainstreaming in national poverty alleviation and development strategies (GCCA-EU)</p> <p>Advice and support for the preparation of regional and local adaptation strategies and plans: Cameroon, India, Nicaragua, Nepal: the GCCA supports drafting and implementation of Local Adaptation Plans (LAPAs) (GCCA-EU)</p> <p>Support of regional integrated adaptation planning (in cooperation with regional organisations, broken down nationally and by sector): Pacific Islands. South Pacific (SPC- SPREP, GCCA-EU), Western Africa (CILSS, GCCA_EU)</p> <p>South Asia (UK's support</p>	

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		<p>for Climate Proofing Growth and Development in South Asia covering Afghanistan, Bangladesh, India, Nepal and Pakistan)</p> <p>Mainstreaming of adaptation into national budget/investment systems: Peru, Samoa and Solomon Islands (using a budget support approach), Sao Tomé & Príncipe, Mozambique; GCCA-EU)</p> <p>Mainstreaming adaptation in bank-driven development programmes: India: watershed development fund of the <i>National Bank for Agriculture and Rural Development</i> (NABARD).</p> <p>Similar support is provided to various countries through UK and Germany's contributions to the Pilot Programme for Climate Resilience (PPCR) which helps countries and regions to develop and implement holistic adaptation programmes. Investment plans have been endorsed for numerous countries including Bangladesh, Bolivia, Cambodia,</p>	



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		<p>Mozambique, Nepal, Niger, Tajikistan, Zambia, Grenada, Jamaica, St Vincent and the Grenadines, St Lucia, and Samoa.</p> <p>The Netherlands helps with adaptation planning in Ethiopia through seed sector development. In order to achieve increasing agricultural productivity, quality seed of improved varieties (linked to other important inputs as credit, fertilizer and tillage) need to be available and affordable. It is projected that improved varieties alone can increase productivity by 10-15% and use of quality seed (produced according to high quality standards) another 5-20% (depending on the crop).</p> <p>The Netherlands contributes to mainstreaming adaptation into water planning and water management, including in Colombia, Vietnam and Bangladesh.</p> <p>In Colombia, the Netherlands and the Dutch water sector have helped to create an</p>	

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		<p>integral water management system through a multi-stakeholder approach. The project on integral water management was set up in 2011 and more sector support will be provided in order to implement this new policy in four different representative basins. This new way of approaching water management with good empirical results contributes to a sustainable, climate resilient, rational and balanced water management in Colombia.</p> <p>In Vietnam, the Netherlands works together in the HCMC Flood and Inundation Management Project, aiming to improve adaptation planning through an integrated approach for flood and inundation management and strengthening technical and management capabilities of HCMC Steering Centre of Flood Control Program and relevant Vietnamese agencies.</p> <p>With its Char</p>	

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		<p>Development and Settlement project in Bangladesh, the Dutch government focuses on a policy reform agenda, which includes: (i) improving the policy/planning and legal framework for coastal zone management; (ii) fostering integrated water resource management and water conservation; (iii) improving and sustaining operation and maintenance; and (iv) improving governance in water resource management at local and regional level in Noakhali District.</p>	
(d) Participatory stakeholder consultations;	<p>The <i>Smart National Adaptation Planning</i> (SNAP) Tool facilitates participatory stakeholder consultations, see A.(a) above.</p>	<p>Integral part of the activities listed under (c) above.</p> <p>In Timor-Leste, the GCCA help communities design local soil and water conservation plans to adapt to climate change</p> <p>The UK has supported the Nile Basin Discourse programme that is helping civil society organisations to engage with Governments on river management and related issues. This should result</p>	

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		in the development of the Nile better reflecting the needs and concerns of populations in the river basin	
(e) Communication, awareness-raising and education.	Implementation: Thus far, four training workshops by the LEG on NAP have been supported with inputs/presentations on mainstreaming adaptation, monitoring and evaluation of adaptation, and support channels for the NAP process.	Implementation: In nearly all countries where Germany, EU and other MS support adaptation. For instance, the German support programmes for integrated coastal protection in South East Asia and the Pacific have strong environmental awareness components; the GCCA program in Comoros includes a robust component to improve understanding of CC risks at local level (decentralised level).	A dedicated training course on <i>Monitoring and Evaluation (M&E) of Adaptation to Climate Change</i> has been developed and made available online. ⁷
C. Implementation strategies			
Activities carried out as part of the implementation strategies would take into consideration the following:			
(a) Prioritizing work according to development needs and climate change vulnerability and risk;			
(b) Strengthening institutional and regulatory frameworks to support adaptation;		Belize: Support to the implementation of the National Adaptation Strategy includes the	

⁷ <http://www.oecd.org/dac/environment-development/integratingclimatechangeadaptationintodevelopmentplanningapractice-orientedtrainingbasedontheoecdpolicyguidance.htm>, Modules 3 to 6

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(c) Training and coordination at the sectoral and subnational levels;		development of a legal and regulatory framework aligned with the Strategy (GCCA-EU) Uganda: support to 2 components of National Development Plan (which already integrates CC) developing national capacities for adaptation in agriculture and ensuring climate-compatible development	
(d) Public dissemination of information on the national adaptation plan process, to be made available to the public and to the UNFCCC secretariat;			
(e) Considering other relevant multilateral frameworks and international programmes and initiatives, with a view to building on and complementing existing adaptation planning.			
D. Reporting, monitoring and review These activities, including national adaptation plan documents, could be included in national strategies and plans, as appropriate. Under this element, Parties should undertake a regular review, at intervals that they determine:			
(a) To address		GIZ has developed the	Conceptually: Applying

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inefficiencies, incorporating the results of new assessments and emerging science and reflect lessons learned from adaptation efforts;		<p>online platform <i>Adaptation Community</i>⁸ for sharing and reflecting lessons learned from adaptation efforts</p> <p>The UK has supported the Climate Change Adaptation in Africa (CCAA) research programme which helps African organisations to compile lessons learnt in community based adaptation, with a view to strengthening the evidence for cost-effective adaptation planning.</p>	<p>economic approaches to quantifying, comparing and monitoring benefits of different adaptation measures. Metrics used are saved wealth, saved health, environmental benefits.</p> <p>Test/implementation so far in: Coastal adaptation programme in Vietnam.</p>
(b) To monitor and review the efforts undertaken, and provide information in their national communications on the progress made and the effectiveness of the national adaptation plan process.	Regularly repeated application of the <i>Smart National Adaptation Planning</i> (SNAP) Tool (see A.(a) above) can be used to monitor the overall progress of the NAP process in a country.	<p>Chad: support to setting up of a monitoring system for the NAPA (GCCA-EU)</p> <p>Seychelles: budget support is conditioned to the setting up of steering and monitoring mechanisms for the Seychelles National Climate Change Strategy (GCCA-EU)</p>	<p>Conceptually: Guides for developing and implementing M&E of adaptation at the national and sub-national levels have been developed. Development of a repository of adaptation indicators for different sectors to support decision makers in designing national M&E systems. Benchmarking of existing national M&E systems of adaptation.</p> <p>Test/implementation so far in: India (<i>State Action Plans on Climate Change</i>),</p>

⁸ www.adaptationcommunity.net



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			Mongolia (<i>National Adaptation Strategy</i>), Morocco (<i>Regional Observatories for Environment and Sustainable Development</i>), Philippines (<i>National Climate Change Action Plan</i>), Tunisia (<i>Development Programme for the North-East</i>).