

# Introduction to the technical guidelines for the NAP process

**Technical meeting on national adaptation plans**

24 – 26 February 2014

Dar es Salaam, Tanzania

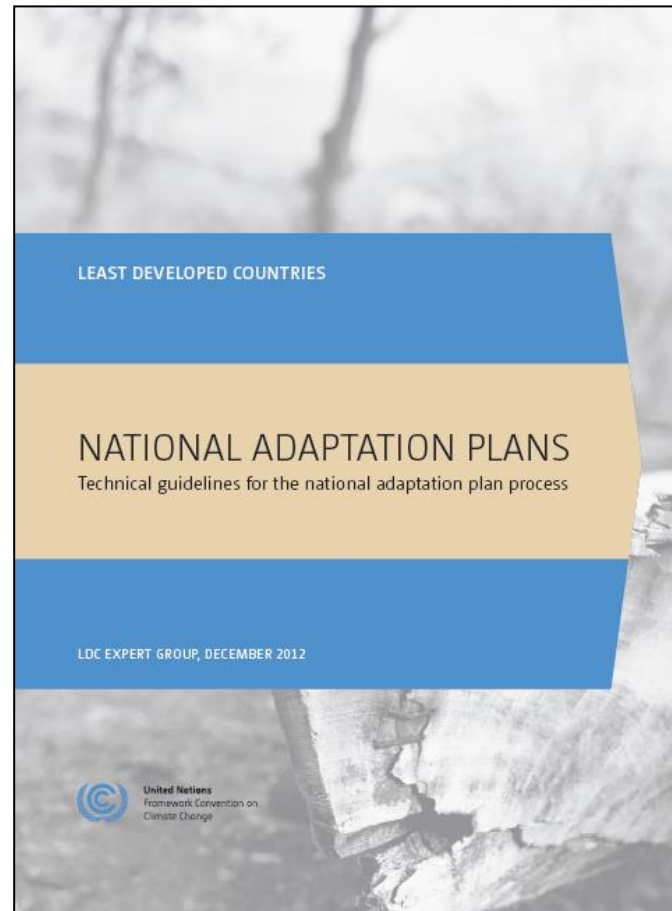


## Introduction to the NAP technical guidelines

---

### The NAP technical guidelines

- Are based on the initial guidelines adopted by the COP
- Provide comprehensive guidance to the NAP process and each of its elements
- Are not prescriptive but can be used in a flexible manner according to a country's needs and desired entry points
- Draw upon existing national adaptation strategies and plans, a broad literature review and expert input



## Part I Introduction

---

The guidelines begin with introducing:

- The **objectives** of the NAP process
- **Key concepts** and **terms**
- **Guiding principles**
- Differences to and lessons from **NAPAs**
- Their **purpose** and **general approach**

### General approach of the guidelines

- Promote not a single but complementary approaches to adaptation planning;
- Call for maximum flexibility in applying available tools beyond those of a particular agency;
- Present a variety of potential steps without prescribing a particular sequence or number of steps;
- Expect that the national process will manage demand for external support rather than being support-driven.



## Part II The four elements of the NAP process

---

The four elements of the NAP process, as defined by the COP in the initial guidelines<sup>1</sup>, build the core of the technical guidelines:

A. Laying the groundwork and addressing gaps

B. Preparatory elements

C. Implementation strategies

D. Reporting, monitoring and review

---

<sup>1</sup> contained in the annex to decision 5/CP.17



## Steps, key questions, indicative activities

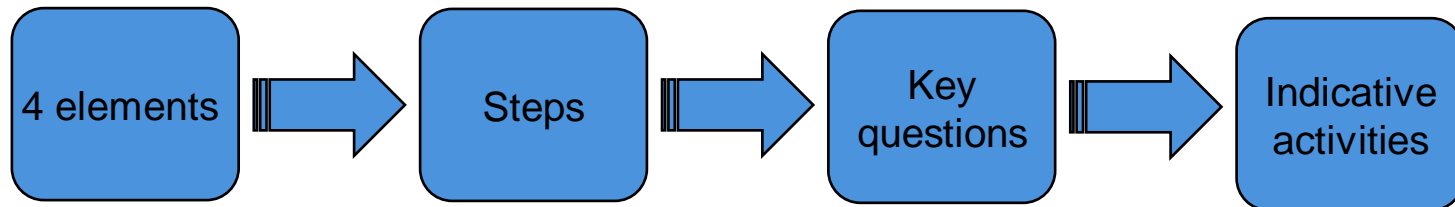
---

For each of the four elements the guidelines propose

- **Steps** a country may consider
- **Key questions** to facilitate implementation of the steps
- **Indicative activities/ tasks** a country may undertake under each step

Each activity is described, approaches and methods are suggested and enriched through **examples**, **case studies**, and **key references**.

Steps and indicative activities are numbered only for ease of reference, a country will sequence and implement them according to its individual circumstances and needs and where they add value to its planning processes. Some activities are **cross-cutting** in nature and will continue throughout.



## **D. Reporting, Monitoring and Review**

1. Monitoring the NAP process
2. Reviewing the NAP process to assess progress, effectiveness and gaps
3. Iteratively updating the national adaptation plans
4. Outreach on the NAP process and reporting on progress and effectiveness

## **A. Laying the groundwork and addressing gaps**

1. Initiating and launching of the NAP process
2. Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process
3. Addressing capacity gaps and weaknesses in undertaking the NAP process
4. Comprehensively and iteratively assessing development needs and climate vulnerabilities

# **NAP process (elements and steps)**

## **C. Implementation Strategy**

1. Prioritizing climate change adaptation in national planning
2. Developing a (long-term) national adaptation implementation strategy
3. Enhancing capacity for planning and implementing adaptation
4. Promoting coordination and synergy at the regional level and with other multilateral environmental agreements

## **B. Preparatory Elements**

1. Analysing current climate and future climate change scenarios
2. Assessing climate vulnerabilities and identifying adaptation options at the sector, subnational, national and other appropriate levels
3. Reviewing and appraising adaptation options
4. Compiling and communicating national adaptation plans
5. Integrating climate change adaptation into national and subnational development and sectoral planning

## Key questions for each step (example element A)

---



### Step A.1: Initiating and launching of the NAP process

#### Key questions

- What is the overall national approach and strategy for the NAP process and what kind of mandate is needed to drive it?
- What institutional arrangements are required at the national level to coordinate and lead the NAP process?
- What outputs are expected from the NAP process, and when?
- What will be the reporting arrangements to various stakeholders in the country?
- What technical and financial arrangements are needed and can be mobilized to sustain the process in the short to long-term?



## Indicative activities for each step (example element A)

Element A. Lay the groundwork and address Gaps	
Steps	Indicative activities
<p><b>1. Initiating and launching the NAP process</b></p>	<ul style="list-style-type: none"> <li>a. Conduct briefings to policymakers about climate change adaptation challenges and opportunities, and the NAP process in particular</li> <li>b. Designate the spearheading or coordinating mechanism</li> <li>c. Create or enhance a national vision and mandate for the NAP process</li> <li>d. Operationalize the NAP process through access to support</li> <li>e. Define a NAP framework and strategy as well as a road map, including sequencing of various NAPs and a monitoring and evaluation plan for the NAP process</li> </ul>
<p><b>2. Stocktaking: identifying available information</b> on climate change impacts, vulnerability and adaptation and <b>assessing gaps and needs</b> of the enabling environment for the NAP process</p>	<ul style="list-style-type: none"> <li>a. Conduct a stocktaking of ongoing and past adaptation activities</li> <li>b. Synthesize available analyses of the current and future climate at the broad national and/or regional level</li> <li>c. Conduct a gap analysis to assess strengths and weaknesses regarding the capacity, data and information, and resources required to effectively engage in the NAP process</li> <li>d. Assess potential barriers to the planning, design and implementation of adaptation activities</li> </ul>
<p><b>3. Addressing capacity gaps</b> and weaknesses in undertaking the NAP process</p>	<ul style="list-style-type: none"> <li>a. Develop and enhance enabling institutional and technical capacity for the formulation of the NAP</li> <li>b. Identify and enhance awareness of potential opportunities for integrating climate change adaptation into development planning at different levels</li> <li>c. Design and implement climate change communication programmes, public awareness-raising and education</li> </ul>





## Element A: Lay the groundwork and address gaps

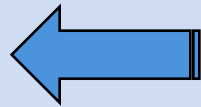
**Objective:** Lay the groundwork and address gaps

### Expected outputs

1. Political mandate
2. Overview document of existing data, information and activities
3. Enabling environment for the NAP process including: (i) institutional arrangements, (ii) NAP strategy and roadmap, (iii) stakeholder analysis and engagement plan and (iv) M&E framework
4. Approach to continuously identify the interface between adaptation and development

### Activities

1. Inform policy makers and create a vision of the NAP process
2. Take stock of existing data, information and activities
3. Assess and address gaps in enabling environment for the NAP process
4. Identify preliminary linkages between adaptation and development
5. Raise awareness, communicate and educate on climate change

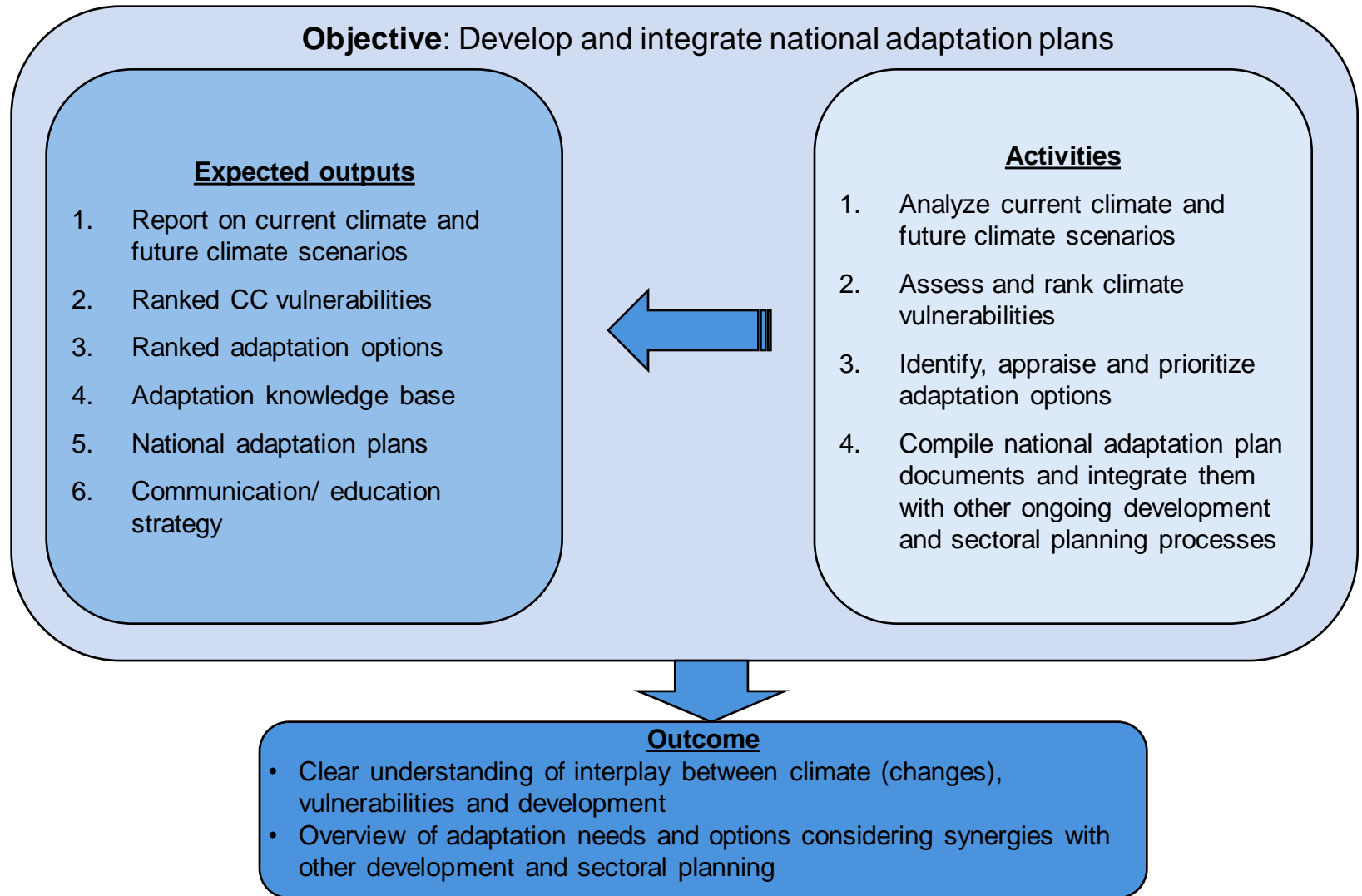


### Outcome

- Political buy-in
- Data, information and institutional basis
- Informed stakeholders



## Element B: Preparatory elements



## Element C: Implementation strategies

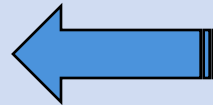
**Objective:** Develop a long-term adaptation implementation strategy

### Expected outputs

1. Prioritized adaptation options
2. Long-term adaptation implementation strategy considering special issues like gender and integration into other planning processes
3. Policies, programmes, projects
4. Strategy for enhancing planning and implementation capacity

### Activities

1. Prioritize adaptation options for strategic implementation according to selected criteria
2. Develop a long-term implementation strategy
3. Promote coordination and synergy
4. Strengthen institutional and regulatory frameworks
5. Implement concrete adaptation measures and activities



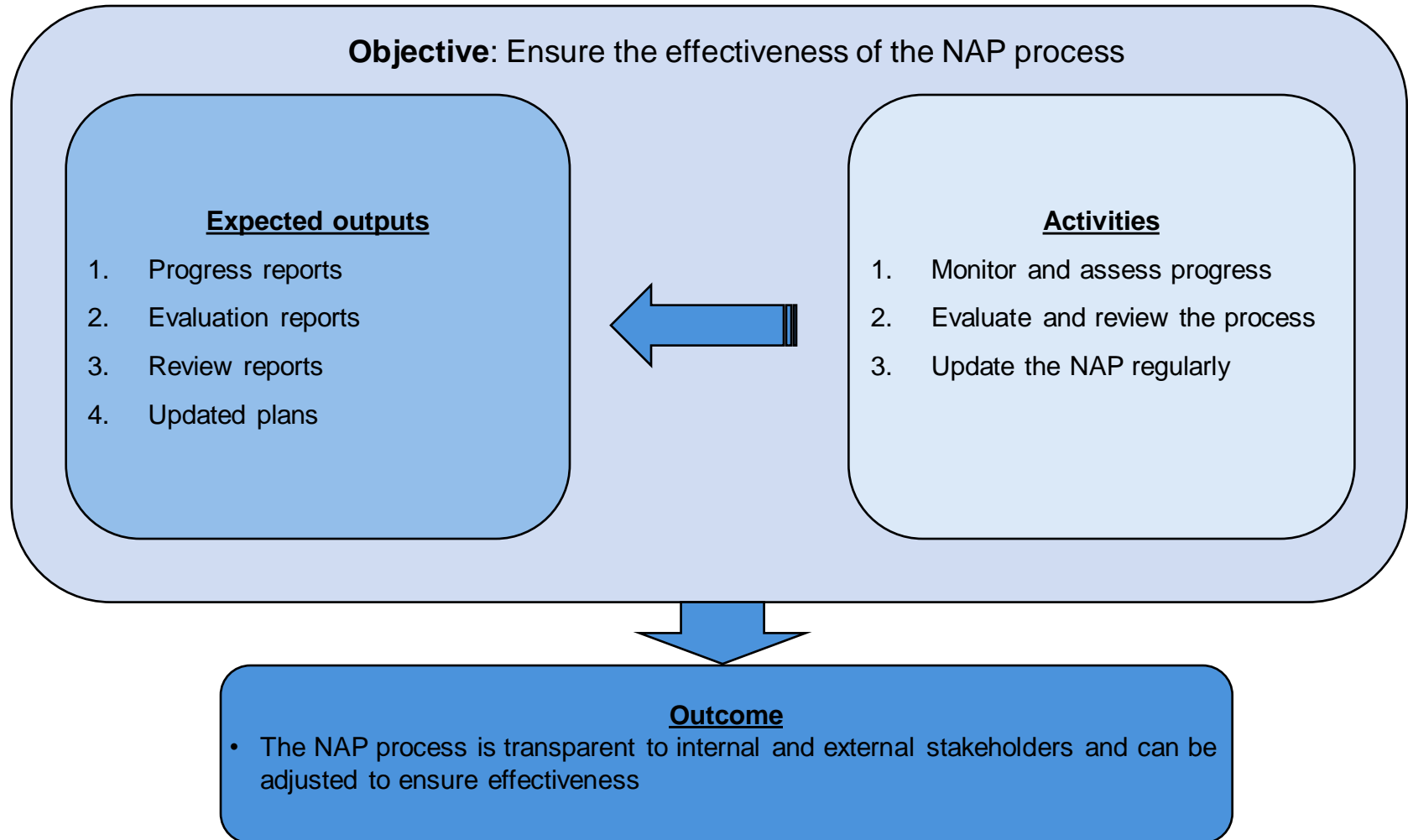
### Outcome

- Long-term orientation for stakeholders with respect to adaptation planning and implementation
- Concrete activities that can absorb funding



## Element D: Reporting, monitoring and review

---



## Part III Guide to use the guidelines

---

To embark on the NAP process the guidelines suggest that countries define an **individual road map** for their NAP process

Those responsible for the NAP process are invited to:

- Scan the different steps and activities proposed in the technical guidelines
- Assess which of them would add value to their national planning process, thus creating their individual NAP roadmap

The following questions may be useful in this regard:

- How should the country start to embark on the NAP process, bearing in mind ongoing efforts? How would the process evolve over time?
- What would be useful **milestones** for each step? What would be a useful checklist that would help managing the process?
- What support can countries engage to receive from the LEG and elsewhere?
- How can the country best arrange the NAP process into **workstreams**, each with clear leadership and ownership by partner institutions of the process?



## Part III Guide to use the guidelines

---

- To navigate the multitude of activities under the NAP process the guidelines suggest to collapse activities of similar nature into **workstreams**, each with clear **leadership** and **ownership** by a particular institution or technical body that would be responsible for and manage such a workstream throughout the four elements
- **Workstreams** may generate specific outputs or be composed of ongoing activities. Examples for workstreams include:

Adaptation capacity  
and enabling  
environments

Vulnerability and  
adaptation  
assessment

Integrating climate  
change adaptation  
into national  
planning

Education, training,  
communication and  
awareness-raising



# Sample workstream on Vulnerability and Adaptation Assessment

## Element A. Lay the groundwork and address Gaps

Steps	Indicative activities
1. Initiating and launching of the NAP process	e. Define a framework and strategy, as well as a road map, including sequencing of various NAPs and a monitoring and evaluation plan, for the NAP process
2. Stocktaking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process	a. Conduct a stocktaking of ongoing and past adaptation activities b. Synthesize available analyses of the current and future climate at the broad national and/or regional level
4. Comprehensively and iteratively assessing development needs and climate vulnerabilities	a. Compile information on main development objectives, policies, plans and programmes

## Element B. Preparatory elements

1. Analysing current climate and future climate change scenarios	a. Analyse the current climate to identify trends in variables and indices that could be used to support planning and decision-making b. Characterize broad future climate risks and levels of uncertainty using scenario analysis at the national level or as part of a regional analysis including through climate and socioeconomic scenarios
2. Assessing climate vulnerabilities and identifying adaptation options at sector, subnational, national and other appropriate levels	a. Assess vulnerability to climate change at sector, subnational, national or appropriate levels (by applying applicable frameworks) b. Rank climate change risks and vulnerabilities c. Identify and categorize adaptation options at multiple scales to address priority vulnerabilities
3. Reviewing and appraising adaptation options	a. Appraise individual adaptation options, including economic, ecosystem and social costs and benefits, and possibilities for unintended (positive and negative) impacts of adaptation measures



# Sample workstream on Vulnerability and Adaptation Assessment

---

## Element B. Preparatory elements

Steps	Indicative activities
3...	...
4. Compiling and communicating national adaptation plans	<ol style="list-style-type: none"><li>Compile draft national adaptation plans and make them available for review</li><li>Integrate review comments into the national adaptation plans and process endorsement at the national level as defined in the mandate for the NAP process</li><li>Communicate and disseminate the national adaptation plans widely to all stakeholders in the country</li></ol>

## Element D. Reporting, monitoring and review

2. Reviewing the NAP process to assess progress, effectiveness and gaps	<ol style="list-style-type: none"><li>Compile and synthesize information from new assessments and emerging science, as well as the results and outcomes from adaptation activities being implemented, to support the review and update of the NAPs and related outputs</li><li>Review, on a regular basis, activities undertaken as part of the NAP process by evaluating the information and metrics collected as part of the monitoring of the process</li></ol>
3. Iteratively updating the national adaptation plans	<ol style="list-style-type: none"><li>Update the national adaptation plans, and related documentation, at a frequency specified in the national mandate, framework or strategy for the NAP process, by repeating selected steps as appropriate</li></ol>





## Sample workstream on Reporting

---

### Element A. Lay the groundwork and address Gaps

Steps	Indicative activities
1. Initiating and launching of the NAP process	<ul style="list-style-type: none"><li>c. Create or enhance a national vision and mandate for the NAP process</li><li>d. Operationalize the NAP process through access to support</li><li>e. Define a framework and strategy, as well as a road map, including sequencing of various NAPs and a monitoring and evaluation plan, for the NAP process</li></ul>

### Element B. Preparatory elements

4. Compiling and communicating national adaptation plans	<ul style="list-style-type: none"><li>c. Communicate and disseminate the national adaptation plans widely to all stakeholders in the country</li></ul>
--	--

### Element D. Reporting, monitoring and review

4. Outreach on the NAP process and reporting on progress and effectiveness	<ul style="list-style-type: none"><li>a. Disseminate the NAP documents and related outputs to the UNFCCC secretariat and to other relevant stakeholders, as these become available</li><li>b. Provide information in national communications on progress in and effectiveness of the NAP process</li></ul>
--	--



## Annexes

---

For further guidance the annexes of the guidelines include

- ❑ The **initial guidelines** for the formulation of NAPs
- ❑ List of **LDC support needs** for the NAP process as identified by the LEG in 2012
- ❑ Examples of **mandate instruments** for climate change adaptation planning that have been implemented by different countries
- ❑ Definitions for **indices** that describe weather extremes to detect climate change
- ❑ Selected examples of existing **adaptation strategies and plans** at different levels (regional, national, sub-national, local, sectoral, at city level and by hazard)
- ❑ Mandate and publications of the **LEG**



## Resources by the LEG to support the NAP process

---

The following resources are being made available online by the LEG to support NAP teams in undertaking the NAP process

(<http://unfccc.int/7279.php>):

- A [NAP overview brochure](#)
- A [NAP Poster](#) showing steps, building blocks and sample outputs under each of the four elements of the NAP process
- Presentations on the [building blocks](#) introducing approaches, methods, tools and examples
- The [NAP Central](#) which is a common information system for the NAP process, presenting information, among other, on data, tools, methods and case studies sorted by countries, sectors and hazards  
(<http://unfccc.int/NAP>)

In addition, the LEG is developing several [complementary products](#) that provide more detailed guidance on individual aspects of the NAP process, such as M&E, gender and synergies

---



## Sample LEG product to support the NAP process: The PEG M&R tool

---

Tool to monitor and review progress, effectiveness and gaps (PEG M&R) of the NAP process

- Designed to monitor overall progress of the NAP process at the **national** and/or **global** level
- Defines **10 essential functions** of the NAP process (services that the NAP process is meant to deliver to countries)
- Suggests **general metrics** through which the essential functions will be monitored and reviewed – regarding process, inputs, outputs, outcomes and impact - if effective, they are expected to deliver towards meeting the objectives of the NAP process
- Suggests **indicative questions** for each individual essential function based on which detailed metrics can be developed and a review designed
- Outcomes of the monitoring and review would feed into **NAP reports** and **updates of the NAP**



## The 10 essential functions of the NAP process

---

1. Helping governments to provide **national leadership** and **coordination** of adaptation efforts at all levels and to act as the main interface with regional and international mechanisms
  2. The collection, compilation, processing and dissemination of **data**, **information** and **knowledge** on climate change and relevant development aspects in support of adaptation planning and implementation
  3. Identifying and addressing **gaps** and **needs** related to **capacity** for the successful design and implementation of adaptation
  4. Assessing **climate development linkages** and needs and supporting the **integration** of climate change adaptation into national and subnational development and sectoral planning (through policies, projects and programmes)
  5. **Analyzing climate data** and **assessing vulnerabilities** to climate change and identifying **adaptation options** at the sector, subnational, national and other appropriate levels
- 



## The 10 essential functions of the NAP process

---

6. **Appraising adaptation options** to support decision-making on adaptation investment plans and development planning
7. Promoting and facilitating the **prioritization** of climate change adaptation in national planning
8. Facilitating the **implementation** of adaptation at all levels through appropriate policies, projects and programmes, taking into account opportunities for **synergy**
9. Facilitating the **monitoring, review** and **updating** of adaptation plans over time, to ensure progress and the effectiveness of adaptation efforts and to demonstrate how gaps are being addressed
10. Coordinating **reporting** and **outreach** on the NAP process to stakeholders nationally and internationally on progress to the Convention.

