

Adaptation Committee/Least Developed Countries Expert Group

Workshop on experiences, good practices, lessons learned, gaps and needs on the process to formulate and implement national adaptation plans (AC/LEG)

The NAP process and guidelines and overview of progress made by countries

Bonn, Germany, 16-17 April 2015



1) **Established under the CAF (decision 1/CP.16, paras 15 to 18)**

As a process to enable LDCs to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. Other developing country Parties are invited to employ the modalities formulated to support the NAPs.

2) **Objectives of the NAP process (decision 5/CP.17) are:**

- a) To **reduce vulnerability** to the impacts of climate change, by building adaptive capacity and resilience;
- b) To **facilitate the integration of climate change adaptation**, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.



and in Lima through decision 3/CP.20

2. *Recognizes* that the process to formulate and implement national adaptation plans is fundamental for building adaptive capacity and reducing vulnerability to the impacts of climate change

4. *Recognizes* the continuous, iterative and long-term nature of the national adaptation plan process, and that the national adaptation plans can serve as an important tool for ensuring a common understanding and for communicating progress made towards both reducing vulnerability and integrating climate change adaptation into national and development planning

5. *Acknowledges* the importance of communicating, in a flexible manner, what the process to formulate and implement national adaptation plans involves, as well as the outputs and outcomes of that process;

9. *Invites* least developed country Parties and other interested developing country Parties that are not least developed countries that may wish to do so, to forward outputs, including national adaptation plan documents, and outcomes related to the process to formulate and implement national adaptation plans, to the NAP Central;



Guiding principles of the NAP process (decision 5/CP.17)

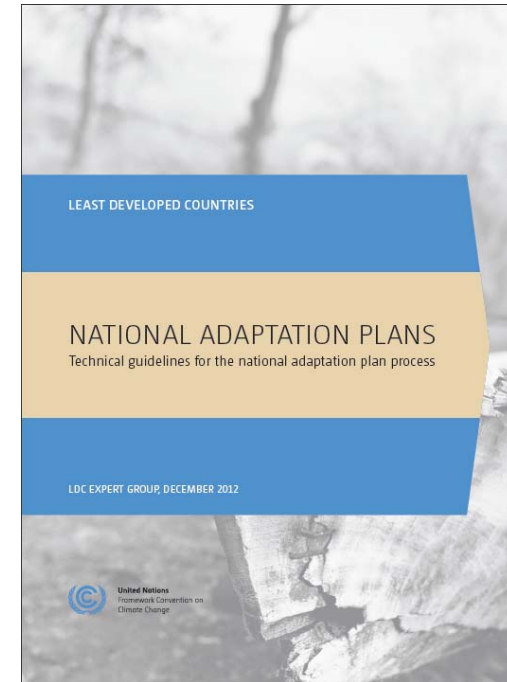
- ☐ Continuous planning process at the national level with iterative updates and outputs
- ☐ Country-owned, country-driven
- ☐ Not prescriptive, but flexible and based on country needs
- ☐ Building on and not duplicating existing adaptation efforts
- ☐ Participatory and transparent
- ☐ Enhancing coherence of adaptation and development planning

- ☐ Supported by comprehensive monitoring and review
- ☐ Considering vulnerable groups, communities and ecosystems
- ☐ Guided by best available science
- ☐ Taking into consideration traditional and indigenous knowledge
- ☐ Gender-sensitive



Guidelines

- Initial guidelines are contained in [decision 5/CP.17, annex](#)
- Technical guidelines for the NAP process, developed by the LEG in response to decision 5/CP.17 paragraph 15 are available at <http://unfccc.int/7279>
- Available in English, French, Portuguese and Spanish



The guidelines provide the basis for the formulation and implementation of NAPs



WHAT DO THE NAP TECHNICAL GUIDELINES CONTAIN?



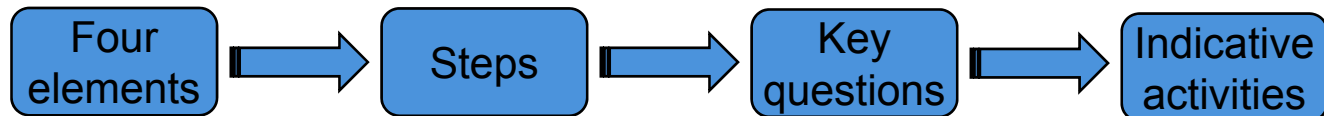
Approach of the technical guidelines

- The technical guidelines **build on the four main elements** of the initial guidelines adopted by Parties to the UNFCCC (decision 5/CP.17).
- They **provide indicative activities** or tasks which a country may undertake based on a broad literature review and input from experts and stakeholders during a meeting organized by the LEG to review a draft of the guidelines.
- The indicate activities could be undertaken by a specific partner or stakeholder of the NAP process, and may have a specific output. Some of the activities may take a specific time to complete, while others would be ongoing.
- The technical guidelines are designed to be flexible and not prescriptive



What is in the technical guidelines?

- Part I. Introduction (pp 10-19) : objectives of the NAP process; key concepts and terms; guiding principles; differences to and lessons from NAPAs;
- Part II. Elaboration of the four elements of the initial guidelines (pp. 20-116): proposal of steps a country may consider, key questions to facilitate implementation of the steps and indicative activities or tasks a country may undertake under each step;
- Part III. A guide to using the technical guidelines (pp. 117-125): Sample flow of activities clustered into workstreams that illustrate how the NAP process could be rolled out within country; identification of some of the stakeholders that may be involved in the NAP process; consideration of the cycles of the NAP process
- Part IV. Annexes (pp/ 126 -146): provision of additional material, suggestions for approaches and methods enriched through examples, case studies, and key references.



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
1. Initiating and launching the NAP process	<ul style="list-style-type: none"> a. Conduct briefings to policymakers about climate change adaptation challenges and opportunities, and the NAP process in particular b. Designate the spearheading or coordinating mechanism c. Create or enhance a national vision and mandate for the NAP process d. Operationalize the NAP process through access to support 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
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	<ul style="list-style-type: none"> 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 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 d. Assess potential barriers to the planning, design and implementation of adaptation activities
3. Addressing capacity gaps and weaknesses in undertaking the NAP process	<ul style="list-style-type: none"> a. Develop and enhance enabling institutional and technical capacity for the formulation of the NAP b. Identify and enhance awareness of potential opportunities for integrating climate change adaptation into development planning at different levels c. Design and implement climate change communication programmes, public awareness-raising and education



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?



- 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



WHAT ARE THE ESSENTIAL FUNCTIONS OF THE NAP PROCESS?



Essential functions of the NAP Process

- In its further guidance to the NAP process, the LEG has consolidated the activities that the NAP process would undertake and support, **into 10 essential functions**
- The essential functions are being applied to:
 1. Provide a basis to examine national adaptation capacity,
 2. Guide the development of monitoring and evaluation protocols for the NAP process – to facilitate a successful process (“PEG M&E Tool”), to complement efforts aimed at monitoring and evaluation of adaptation (projects/programmes, as well as outcomes of such efforts in the long run)



Why the essential functions

What are the essential functions?

- Essential characteristics of an effective NAP process, that it is useful at the national level, and leads to desired outcomes
- Expected impact of carrying out a NAP process in the long-term
- List of the essential functions at the end of the presentation

Their basis for the PEG M&E tool

- Under each essential function, expected results/outcomes can be framed, that would lead to achieving the long-term impact



Essential Function 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



Essential function 1: building blocks / key components

Mandate

Institutional
arrangements
and coordination
mechanism

Stakeholder
analysis

Vision for the
NAP process

Roadmap



Example using the Essential Function 1

Essential Function 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

- **Expected outcome 1:** The NAP process creates and maintains governance structures that lead work on adaptation at the national level through appropriate mandates and institutional arrangements
- **Expected outcome 2:** The NAP process facilitates the coordination of adaptation across scales, actors and levels within the country to ensure coherence and effectiveness of adaptation
- **Expected outcome 3:** The NAP process is used to mobilize and manage technical and financial support for nation adaptation efforts from local, regional and international mechanisms



Listing of the Essential Functions of the NAP process (LEG, 2015)

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. **Analysing climate data and assessing vulnerabilities** to climate change and identifying **adaptation options** at the sector, subnational, national and other appropriate levels



Listing of the Essential Functions of the NAP process (LEG, 2015), *contd.*

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 effectiveness of adaptation efforts and to demonstrate how gaps are being addressed
10. Coordinating **reporting** and **outreach** on the NAP process to stakeholders nationally, internationally and formally on progress to the Convention



Supporting NAPs through the NAP Central



What is the NAP Central?

The main information platform for supporting the NAPs. It provides

- Information to support the NAP process;
- Information on progress made by countries on their national processes;
- A repository of relevant NAP documents for supporting the LDCs, with links to relevant data, information, and tools for the NAP process, to be populated with inputs from countries as well as from relevant organizations, regional centres and networks, and the research community;
- Information to support COP considerations on NAPs.
- Etc...



Main components

Guidelines

NAP
resources

Countries

Navigators
(tools, data,
etc.)

Support

Databases

Collaboration

NAP events



Front page – timeline of key milestones

[Guidelines ▾](#)[NAP Resources](#)[Countries ▾](#)[Navigators](#)[Support](#)[Databases ▾](#)[Collaboration](#)[NAP Events ▾](#)

January 12, 2012

NAP Technical Guidelines

The LDC Expert Group published the technical guidelines for the national adaptation plan process to provide countries and organizations with technical guidance on the development of NAP. The guidelines cover areas such as establishing a national process to coordinate adaptation planning at all relevant scales and with a medium- and long-term view in mind. Find the guidelines here: <http://unfccc.int/7279>



URL: unfccc.int/nap

Country Portals – private to country teams

**[https://process.unfccc.int/sites/
napparties/malawi](https://process.unfccc.int/sites/napparties/malawi)**

Username: [ext.unfccc.net](#)*\name*

Password: [xxxxxx](#)



Country specific portals: Example of Malawi

The screenshot shows a web browser window displaying the Malawi NAP Central site. The browser's address bar shows the URL: <https://process.unfccc.int/sites/napparties/Malawi/SitePages/Ho>. The page features a dark blue header with the UNFCCC logo, the text "Malawi Home", and a navigation menu. Below the header, there is a large banner image of a boat on water. The main content area is titled "Welcome to the Malawi NAP Central site!" and includes an "Announcements" section. A table lists documents under the "Country Documents" tab, with columns for Type, Name, Modified, Modified By, and Workflow. A sidebar on the left contains links to Libraries, Site Pages, Country Documents, Branding Images, Lists, Calendar, Tasks, Discussions, and Team Discussion. The bottom of the page has a footer with links to "About this site", "FAQ", "Disclaimer", and "Contact".

Libraries
Site Pages
Country Documents
Branding Images
Lists
Calendar
Tasks
Discussions
Team Discussion
Recycle Bin
All Site Content

Welcome to the Malawi NAP Central site!

Announcements

Type	Name	Modified	Modified By	Workflow
	CIA factbook country_malawi	2/18/2015 10:14 PM	Paul Desanker	Send to NAP Central
	Malawi prog of action for LDCIII Brussels prog of action 2001 to 2010	2/18/2015 9:37 PM	Paul Desanker	Send to NAP Central
	Malawi_UNDAF_2012_2016	2/18/2015 9:17 PM	Paul Desanker	Send to NAP Central
	Mid-Term Review Malawi Macro Model for the Malawi Growth and Development Strategy	2/18/2015 9:04 PM	Paul Desanker	Send to NAP Central

+ Add document

Create Screen Clipping (Windows+5)

About this site | FAQ | Disclaimer | Contact

18:40 22/02/2015

URL: <https://process.unfccc.int/sites/napparties/>"country"

Progress on the process to formulate and implement NAPs

- Several countries have embarked on the NAP process according to:
- A few countries at advanced stages, majority in process of seeking funding support for their NAP process
- A few countries have submitted proposals to the LDCF for NAPs
- Countries building on many existing activities and programmes to carry out components of their NAP process
- Many countries accessing technical support through the NAP global support programmes, the NAP Global Network and other bilateral programmes



United Nations Framework Convention on Climate Change

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