

## **LEAST DEVELOPED COUNTRIES EXPERT GROUP**

Information paper on how the process to formulate and implement national adaptation plans can be supported in the least developed countries



**United Nations**  
Framework Convention on  
Climate Change



# Information paper on how the process to formulate and implement national adaptation plans can be supported in the least developed countries

LDC EXPERT GROUP 2015



# CONTENTS

<b>FOREWORD</b>	<b>5</b>
<b>1. INTRODUCTION</b>	<b>6</b>
<b>2. OVERVIEW OF THE PROCESS TO FORMULATE AND IMPLEMENT NAPS</b>	<b>8</b>
<b>3. AVAILABLE SUPPORT FOR THE PROCESS TO FORMULATE AND IMPLEMENT NAPS</b>	<b>9</b>
A. TECHNICAL GUIDANCE AND SUPPORT	9
B. TECHNICAL SUPPORT AND CAPACITY-BUILDING	10
C. TECHNOLOGY	12
D. FINANCE	12
<b>4. THE PROCESS TO FORMULATE AND IMPLEMENT NAPS IN PRACTICE</b>	<b>13</b>
A. SAMPLE ACTIVITIES FOR A TYPICAL PROCESS TO FORMULATE AND IMPLEMENT NAPS	13
B. SCOPING TOOL TO IDENTIFY ACTIVITIES TO BE CARRIED OUT AND MATCHING WITH SOURCES OF SUPPORT	14
<b>11. ACCESSING FUNDING FOR THE PROCESS TO FORMULATE         AND IMPLEMENT NAPS UNDER THE LDCF</b>	<b>16</b>
A. MODALITIES	16
B. SAMPLE ACTIVITIES FOR A PROPOSAL TO THE LDCF	18
C. FUNDING NAP ACTIVITIES UNDER NAPA IMPLEMENTATION PROJECTS	19
<b>12. ACCESSING FUNDING FOR THE PROCESS TO FORMULATE AND         IMPLEMENT NAPS UNDER THE GCF</b>	<b>20</b>
<b>ANNEX I: TIMELINE OF DECISIONS ON NATIONAL ADAPTATION PLANS</b>	<b>22</b>
<b>ANNEX II: ABOUT THE LEAST DEVELOPED COUNTRIES EXPERT GROUP (LEG)</b>	<b>24</b>



## FOREWORD

The least developed countries (LDCs) continue to undertake a variety of measures to adapt to the adverse impacts of climate change. Almost all of them have prepared and submitted their national adaptation programmes of action (NAPAs) and embarked on the implementation of identified projects. NAPAs have raised awareness on climate change and imparted hands-on experience in implementing concrete adaptation projects on the ground in the LDCs. They have increased collective knowledge on adaptation to climate change at the national, regional and international levels. The LDCs have also started to embark on the process to formulate and implement national adaptation plans (NAPs), building on their experiences from the NAPAs.

As the LDCs were getting ready to embark on the process to formulate and implement NAPs, two important issues emerged. These were an assessment of the support needs for the countries to undertake the process, and approaches on how the process can be supported in the countries. This paper responds to the second issue by going through the support available, and proposing ways in which countries may be supported to manage the process to formulate and implement NAPs.

On behalf of the Least Developed Countries Expert Group, I would like to warmly thank all the countries and organizations that have provided invaluable contributions to this publication. I also believe that this publication will be of value not only to the LDCs but to the broader adaptation community.



**Batu Uprety**

Chair of the LEG

December 2015



# 1. INTRODUCTION

This paper presents information on the support to the least developed countries (LDCs) on the process to formulate and implement national adaptation plans (NAPs) in terms of type of support (technical, capacity-building, technological and financial), and how such support is provided by the Least Developed Countries Expert Group (LEG), Adaptation Committee, Technology Executive Committee (TEC), the Global Environment Facility (GEF), the Green Climate Fund (GCF) and other institutions.

It also includes references to the NAP Global Support Programme for the LDCs and the NAP Global Network. It is important to note that financial and technical support and capacity-building can also be explored from various organizations including United Nations organizations, specialized agencies and other relevant organizations, bilateral and multilateral agencies. The paper is intended to provide information to various entities on how the process to formulate and implement NAPs can be supported in the LDCs.

To access financial support, countries would lay out relevant activities for identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs, that could then be packaged into a project for a particular funding source, for a given time period. Countries can implement several such projects as part of their overall process to formulate and implement NAPs, and it is expected that these would overlap and continue on an ongoing basis to address the continuous nature of the process, iterating from formulation of the NAPs, implementation, review and assessment, updating of the plans, and so on. The countries would develop a roadmap to manage incoming support, taking into account national circumstances and building on ongoing adaptation efforts, in so doing, ensuring a country-driven approach.



## 2. OVERVIEW OF THE PROCESS TO FORMULATE AND IMPLEMENT NAPS

The process to formulate and implement NAPs was established by the Conference of the Parties (COP) at its sixteenth session (December 2010) to enable LDCs (and other developing countries) as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs.<sup>1</sup> The process to formulate and implement NAPs builds on existing and ongoing activities in countries, including the NAPAs in the case of the LDCs. It is expected to create a platform for coordinating adaptation efforts at the national level involving all relevant actors, serving interests of all adaptation stakeholders.

The process to formulate and implement NAPs has the following two objectives:

- 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.<sup>2</sup>

The COP set forth the guiding principles for the process to formulate and implement NAPs. It agreed that planning for adaptation at the national level is a continuous, progressive and iterative process, the implementation of which should be based on nationally identified priorities, including those reflected in the relevant national documents, plans and strategies, and coordinated with national sustainable development objectives, plans, policies and programmes. The COP also agreed that enhanced action on adaptation should:

- › Be undertaken in accordance with the Convention;
- › Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems;
- › Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
- › Not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action.<sup>3</sup>

The COP has progressively taken decisions to build the architecture for supporting the process to formulate and implement NAPs in LDCs and other developing countries. Such decisions include mandates to the LEG and the Adaptation Committee to provide technical guidance and support to the process, guidance to the GEF to support the formulation of NAPs, and invitations to United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to support the process to formulate and implement NAPs in developing countries. A summary of the key decisions and milestones on NAPs under the UNFCCC is given in the annex.

---

<sup>1</sup> Decision 1/CP.16, paragraph 15.

<sup>2</sup> Decision 5/CP.17, paragraph 1.

<sup>3</sup> Decision 5/CP.17, paragraph 4.

### 3. AVAILABLE SUPPORT FOR THE PROCESS TO FORMULATE AND IMPLEMENT NAPS

#### A. TECHNICAL GUIDANCE AND SUPPORT

The initial guidelines for the formulation of NAPs as adopted by the Conference of the Parties are contained in decision 5/CP.17, annex. These guidelines as well as the technical guidelines for the NAP process, prepared by the LEG as mandated by the COP based on the initial guidelines, are the basis for the formulation and implementation of NAPs. They are available in multiple languages at <<http://unfccc.int/7279>>.

Further to the guidelines, the COP mandated the LEG to provide technical guidance and support to the process to formulate and implement NAPs in the LDCs.<sup>4</sup> Such guidance and support is provided through the following modalities as decided by the COP:

- (a) Technical guidelines for the national adaptation plans;
- (b) Workshops and expert meetings;
- (c) Training activities;
- (d) Regional exchanges;
- (e) Syntheses of experiences, best practices and lessons learned;
- (f) Technical papers;
- (g) Technical advice;<sup>5</sup>
- (h) NAP Expo;
- (i) NAP Central;
- (j) Open NAP case studies.



<sup>4</sup> Decision 5/CP.17, paragraph 13.

<sup>5</sup> Decision 5/CP.17, paragraph 12.

Meanwhile, the LEG has undertaken various activities on NAPs since 2011. These include:

- › Development of technical guidelines for the process to formulate and implement NAPs, available in English, French, Portuguese and Spanish;
- › Regular surveys to the LDCs to capture progress, experiences, best practices and lessons learned;
- › Organization of NAP Expos in 2013, 2014, 2015 and 2016;
- › Training on NAPs through regional training workshops. Two rounds of workshops have been organized in 2012–2013 and 2014–2015;
- › Development of a sample process to formulate and implement a NAP showing how main activities could be carried out;
- › Development of the NAP Central – a universal hub for all information pertinent to the process to formulate and implement NAPs;
- › Engagement of a wide range of organizations in implementing its work programme, including through specific advisory/support groups;
- › Collaboration with the Green Climate Fund (GCF) on how developing countries can access funding from the GCF for the process to formulate and implement NAPs;
- › Engagement of the Global Environment Facility and its agencies, as well as other relevant organizations, at its meetings to explore ways on how to best support the LDCs in accessing support for addressing adaptation;
- › Development of various technical and information papers:
  - Best practices and lessons learned in addressing adaptation in the LDCs, Volume 3;
  - Strengthening gender considerations in adaptation planning and implementation in the LDCs;
  - Regional synergy in addressing adaptation through the NAPAs and the process to formulate and implement NAPs in the LDCs;
  - How NAPs can be supported in the LDCs;
  - A tool for monitoring and evaluating progress, effectiveness and gaps of the process to formulate and implement NAPs (PEG M&E tool);
  - An overview of the process to formulate and implement NAPs and guidelines.

## B. TECHNICAL SUPPORT AND CAPACITY-BUILDING

In addition to the technical guidance above, various bodies under the Convention have specific mandates/activities to support the process to formulate and implement NAPs.

The Adaptation Committee provides guidance to address gaps and needs for the process to formulate and implement NAPs through: developing recommendations for consideration by the COP, collaborating with relevant entities, and offering platforms for sharing expert knowledge on issues relevant to the process. The Adaptation Committee also scopes out the “landscape” of organizations that support the process and the strategic steps that they could take to scale up their support. In addition, the Adaptation Committee, in collaboration with the LEG and other entities, identifies the role of the UNFCCC in facilitating the delivery of support to all developing countries. The Adaptation Committee has undertaken the following activities in relation to NAPs:

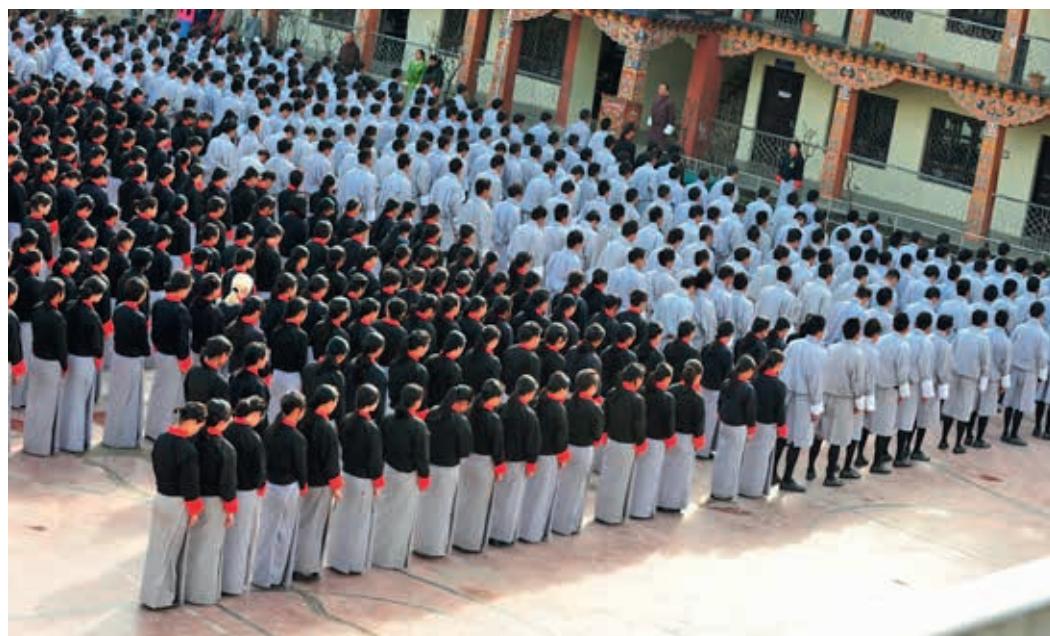
- › Reviewed the technical guidelines on their applicability by non-LDC developing countries, and concluded that the guidelines are broad and non-prescriptive and therefore flexible enough to also be applied;
- › Convened a meeting with representatives from relevant organizations and agencies in 2014 to identify strategic efforts to address gaps and needs encountered by developing countries when undertaking the process to formulate and implement NAPs;
- › Provided recommendations relating to NAPs through its reports to the COP;
- › Developed a publication on navigating the landscape of support for the process to formulate and implement NAPs.

The COP invited Parties and relevant organizations to continue to assist the LDC Parties, drawing upon the work of, and where appropriate in consultation with, the LEG, in building national institutional arrangements and capacities, and to support scientific and technical capacity needs, as identified by the LDC Parties, for undertaking the process to formulate and implement NAPs.<sup>6</sup> The LEG has been collecting information from the LDC Parties through questionnaires on their technical capacity needs, and uses this information in providing support through technical materials and training workshops. This support is provided in close collaboration with Parties and relevant organizations.

The COP has further invited the United Nations organizations, specialized agencies and other relevant organizations, as well as bilateral and multilateral agencies, to consider establishing or enhancing support programmes for the process to formulate and implement NAPs within their mandates, as appropriate, which could facilitate financial and technical support to the LDC Parties, drawing upon the work of, and where appropriate in consultation with, the LEG.<sup>7</sup> In response to this, a NAP global support programme (GSP) for the LDCs was been established by UNEP and UNDP, in collaboration with other organizations, with funding from the LDCF. The NAP GSP is designed to advance the process to formulate and implement NAPs in the LDCs particularly regarding institutional support, technical support and knowledge brokering. Twenty-three countries are currently being supported directly, while regional activities, such as training workshops, are organized to benefit all the LDCs.<sup>8</sup>

In addition, a NAP Global Network has been launched to enhance bilateral support for the process to formulate and implement NAPs to developing countries by improving coordination and collaboration among bilateral development partners, supporting enhanced leadership on adaptation at the national level in developing countries, and by facilitating learning and exchange on the process. It has received initial funding from Germany and the United States of America. The International Institute for Sustainable Development functions as the Secretariat for the NAP Global Network.<sup>9</sup>

Furthermore, there is a diversity of other channels of support outside the Convention through multilateral and bilateral agencies and organizations.



6 Decision 12/CP.18, paragraph 7.

7 E.g. see decision 12/CP.18, paragraph 8.

8 More information on the NAP GSP is available at <<http://www.undp-alm.org/projects/naps-ldc>>.

9 More information on NAP Global Network is available at <<http://www.napglobalnetwork.org>>

## C. TECHNOLOGY

The TEC has been mandated to collate, collect and synthesize a range of information on technology research and development and other technology-related activities from various sources, including, but not limited to NAPs and to produce a series of technical papers on specific policies and technical issues, including those arising from technology needs assessment (TNAs).<sup>10</sup> The COP has also agreed that the TNA process should be integrated with other related processes under the Convention, including NAPs.<sup>11</sup> The TEC has published a brief describing how the TNA process could be integrated with NAMA process and the process to formulate and implement NAPs.<sup>12</sup> It has also established a task force on adaptation and has held a workshop on technologies for adaptation in collaboration with the Adaptation Committee in March 2014.<sup>13</sup> The TEC is further planning to develop *briefs* on technologies for adaptation.<sup>14</sup>

Along with the TEC, a Climate Technology Centre and Network was established to facilitate a network of national, regional, sectoral and international technology networks, organizations and initiatives with a view to engaging the participants of the Network effectively in the functions related to transfer of technologies. This is done through: providing technical assistance at the request of developing countries to accelerate the transfer of climate technologies; creating access to information and knowledge on climate technologies; and fostering collaboration among climate technology stakeholders via the Centre's network of regional and sectoral experts from academia, the private sector, and public and research institutions.<sup>15</sup>

## D. FINANCE

There exist a number of opportunities under the Convention through which countries can access support for the process to formulate and implement NAPs. These include the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF), Adaptation Fund and the Green Climate Fund (GCF). The following are specific mandates/provisions relating to accessing resources from these funds for the process:

- › For the LDCF and the SCCF: the COP requested the GEF to provide financial support to the LDCs for activities to enable the process to formulate and implement NAPs through the LDCF, and to consider how non-LDCs can be supported through the SCCF. The GEF subsequently developed a paper entitled *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance from the UNFCCC COP*,<sup>16</sup> that provides an operational basis for supporting the process to formulate and implement NAPs in eligible developing countries. The paper provides the scope of the LDCF/SCCF support, and that the GEF will continue to apply the policies presented in the updated operational guidelines for the LDCF and the SCCF (documents GEF/LDCF.SCCF.13/04 and GEF/LDCF.SCCF.13/05, respectively);
- › The GCF was established in 2010 to support projects, programmes, policies and other activities in developing country Parties. With regard to adaptation, such projects, programmes, policies or activities may be derived from the NAPs, NAPAs and other relevant national strategies.

<sup>10</sup> Decision 4/CP.17, Annex I.

<sup>11</sup> Decision 13/CP.18.

<sup>12</sup> <[http://unfccc.int/ttclear/pages/tec\\_home.html](http://unfccc.int/ttclear/pages/tec_home.html)>.

<sup>13</sup> <[http://unfccc.int/ttclear/pages/ttclear/templates/render\\_cms\\_page?sevents\\_workshops\\_adaptationtechs](http://unfccc.int/ttclear/pages/ttclear/templates/render_cms_page?sevents_workshops_adaptationtechs)>.

<sup>14</sup> See document TEC/2014/8/10, available at <<http://unfccc.int/ttclear/templates/ttclear/sunsetcms/storage/contents/stored-file-20140328150154342/TEC%208%20meeting%20report%20including%20WP.pdf>>.

<sup>15</sup> <<https://www.ctc-n.org/about-ctcn>>.

<sup>16</sup> GEF document GEF/LDCF.SCCF.14/06 available at <[www.thegef.org/gef/council\\_document/operationalizing-supoprt-preparation-national-adaptation-plan-process-response-guid](http://www.thegef.org/gef/council_document/operationalizing-supoprt-preparation-national-adaptation-plan-process-response-guid)>.

## 4. THE PROCESS TO FORMULATE AND IMPLEMENT NAPS IN PRACTICE

### A. SAMPLE ACTIVITIES FOR A TYPICAL PROCESS TO FORMULATE AND IMPLEMENT NAPS

A country would need to understand the NAP technical guidelines and design an approach based on its national circumstances. At its technical meeting on NAPs in February 2014, the LEG explored how a country may organize activities as part of the process, building on ongoing activities, while ensuring an adequate flow of information along the process. Key recommendations included the importance of institutional arrangements, mandate and strategy for the process to formulate and implement NAPs as the primary pillars to ensure a successful start of the process.

A national coordinating mechanism, entitled through a specific mandate, would define an approach for the country and coordinate incoming efforts to ensure a sustainable adaptation approach that fully supports the national vision for climate-resilient development. The mandate would establish clear responsibilities for government agencies (lead agency, coordination, reporting, etc.) and all other stakeholders, and specify key actions, milestones and outputs (e.g. assessments, plans, implementation, M&E), frequency, and follow-up actions. A roadmap would be useful to map out a work plan for the process to formulate and implement NAPs, showing how the different actors would work together to produce national adaptation plans, get them integrated into national development plans, implemented, monitored and updated over time.

The LEG and the experts worked on a sample process that shows activities that could be included and how information would flow between activities. The sample process is shown in Figure 1.

### B. SCOPING TOOL TO IDENTIFY ACTIVITIES TO BE CARRIED OUT AND MATCHING WITH SOURCES OF SUPPORT

The sample process to formulate and implement NAPs presented above would help in conducting an initial scoping of what exists in the country to identify needed steps from the technical guidelines. In fact, a country may initiate several activities concurrently, and work towards populating the whole process over time in an iterative manner. The LEG has formulated 10 essential functions to “capture” the role of the process to formulate and implement NAPs for a country (see table 1). The related components to the essential functions would ensure a successful process. In addition, the LEG has produced a poster of steps and building blocks<sup>17</sup> that could be used as a check list to identify activities that could comprise the process to formulate and implement NAPs for a given country.

The next step is then to identify means of support for each of the activities, and these may include technical support and capacity-building from the LEG and AC; the NAP GSP; and other relevant organizations and programmes; and financial support from the LDCF, the GCF and other funds, as well as other sources of financing available to countries.

---

<sup>17</sup> <[unfccc.int/7279](http://unfccc.int/7279)>.

**FIGURE 1: SAMPLE PROCESS TO FORMULATE AND IMPLEMENT A NATIONAL ADAPTATION PLAN****Element A:  
Lay the groundwork and address gaps**

1. Launch NAP work with interim institutional arrangements

2. Synthesize available information, stocktake available resources, programmes and projects, map stakeholders and actors, and assess gaps and needs

Synthesis and stocktaking reports; gap analysis and needs report; stakeholder mapping; profile of actors

3. Characterize the development context: identify development-adaptation themes and goals/objectives to focus on

Determinants of development and vulnerability

4. Define mandate and strategy, and national institutional arrangements (governance & coordination)

NAP mandate & national climate resilient development strategy or framework

**Element B:  
Preparatory elements**

5. Define a NAP road map including details on timelines and M&E system

Adaptation options database

10. Appraise, prioritize and rank adaptation options

11. National Adaptation Plan (NAP)

9. Identify adaptation options to address key vulnerabilities and activities to integrate adaptation in development planning

Climate risk and vulnerability Assessment report

8. Assess climate risks and vulnerability

Risk analysis report & scenarios

7. Analyse past climate and climate change scenarios and characterize climate risk

Visioning report

6. Visioning the future scenarios and pathways of development and adaptation actions in a changing climate

Road map for the process

**Element C:  
Implementation strategies**

12. Design coherent implementation strategies including synergy

NAP + implementation strategy -> Strategic framework for adaptation

13. Implement and manage actions through policies, programmes, projects and other activities

Proposals for policies, projects and programmes; Institutional capacity-building (readiness)

**Element D:  
Reporting, monitoring and review**

14. Monitor and periodically review the process

Monitoring and review reports

15. Report on progress, effectiveness and gaps

Progress report

Update NAPs?

Note: Steps (in boxes) and their outputs that act as inputs for subsequent steps are shown.

Abbreviations: M&E = monitoring and evaluation, NAP = national adaptation plan.

**Table 1: Essential functions of the process to formulate and implement NAPs and selected key components**

Essential function	Key components
1. Helping governments to provide <b>national leadership</b> and <b>coordination of adaptation efforts at all levels</b> and to act as the <b>main interface</b> with regional and international mechanisms	Vision and mandate for NAPs; strategy and roadmap; outreach documents; institutional arrangements; coordination mechanism
2. The collection, compilation, processing and dissemination of <b>data, information and knowledge</b> on <b>climate change and relevant development aspects</b> in support of adaptation planning and implementation	Technical bodies; databases; information and knowledge hubs
3. <b>Identifying and addressing gaps and needs</b> related to capacity for the successful design and implementation of adaptation	Process to identify and address gaps and needs; database/reports of gaps and needs; new institutional arrangements/trainings/resources to address gaps and needs
4. Assessing <b>climate-development linkages and needs</b> , and supporting the integration of climate change adaptation into national and subnational development and sectoral planning (through policies, projects and programmes)	Process/mechanism for coordination between development and adaptation communities; papers, reports and other assessment and outreach material; policy, project and programme documents for integrated activities
5. <b>Analyzing climate data</b> and <b>assessing vulnerabilities</b> to climate change and identifying <b>adaptation options</b> at the sector, subnational, national and other appropriate levels	Technical bodies; assessment reports and maps of vulnerabilities and adaptation options
6. <b>Appraising adaptation options</b> to support decision-making on adaptation investment plans and development planning	Appraisal documents; lists of priority options; NAP and related plans and documents
7. Promoting and facilitating the <b>prioritization</b> of climate change adaptation in national planning	Coordination among ministries including the set-up of focal points; promotional material
8. Facilitating the <b>implementation</b> of adaptation at all levels through appropriate policies, projects and programmes, taking into account opportunities for synergy	Policies and legal frameworks; coordination among different multilateral or regional environmental agreements/programmes; strategy documents or plans; project and programme documents
9. Facilitating the <b>monitoring, review</b> and <b>updating</b> of adaptation plans over time, to ensure progress and effectiveness of adaptation efforts and to demonstrate how gaps are being addressed	Monitoring and review mechanism/system/process; monitoring and review data, information and reports; updated strategies and NAPs
10. Coordinating <b>reporting</b> and <b>outreach</b> on the NAP process to stakeholders nationally, internationally and formally on progress to the Convention	Timeline or trigger for reporting to UNFCCC and others; communication strategy and system; NAP reports

# 11. ACCESSING FUNDING FOR THE PROCESS TO FORMULATE AND IMPLEMENT NAPS UNDER THE LDCF

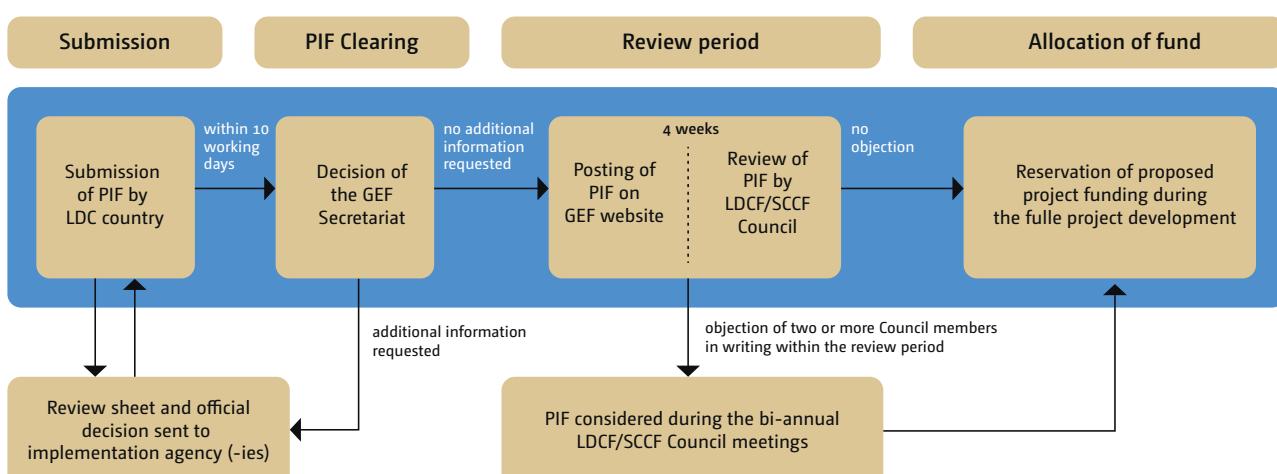
## A. MODALITIES

As communicated by the GEF, LDCs can access resources from the LDCF for the formulation of NAPs through existing GEF modalities of medium-sized projects, full-sized projects and programmatic approaches, consistent with the objectives and principles of the LDCF. Accessing the LDCF involves iterative steps between the country, a GEF agency and the GEF. First, an LDC would develop a project concept in the form of a Project Identification Form (PIF) with the assistance of one of the GEF agencies. For the process to formulate and implement NAPs, this will likely involve an initial scoping of existing activities and awareness-raising among key stakeholders, and may therefore need to be facilitated with a small preparation grant. The PIF would be submitted to the GEF for approval by the LDCF/SCCF Council, and can be accompanied by a request for a project preparation grant (PPG).

Once the PIF is approved, the country embarks on development of a full project document, and PPG funding is provided to the country if requested. Once completed, the full project document is submitted to the GEF for GEF CEO Endorsement, which would then enable disbursement of requested amount of funding to the country for full implementation of the project. In some cases, a country may combine the PIF and PPG stages.

The project can be a Medium-Sized Project (MSP) if the total cost from the LDCF is less than or equal to USD 2 million, or can be a Full-Sized project (FSP) if more. The FSP undergoes a full review process under the LDCF Council, and would take longer to process than the MSP. The MSP is directly approved and endorsed by the GEF CEO. A complete description of the GEF modalities for accessing the LDCF is contained in the GEF document GEF/LDCF.SCCF.13/04 titled *Updated Operational Guidelines for the Least Developed Countries Fund*.

**FIGURE 2: FLOW OF PROCEDURES AND PROCESSING FOR THE PROJECT IDENTIFICATION FORM (PIF) FOR LDCF PROJECTS**





## B. SAMPLE ACTIVITIES FOR A PROPOSAL TO THE LDCF

As described above, a country would have identified activities that would need to be undertaken as part of the process to formulate and implement NAPs, after due consideration of what exists. Table 2 shows how some activities could be arranged and how these could be presented in the stages of the proposal to the LDCF, from a PIF to a PPG then the full project – either as a medium-sized project or full-sized project (the case whether only activities for the formulation of NAP are included within a NAPA implementation project is discussed below). These activities include only those that would be additional to what a country would be doing with its own resources, such as routine collection of climate and related data. Given the modular nature of the activities, additional funding from non-LDCF sources could be mapped to specific activities that would complement those activities supported through the LDCF funding.

After the first iteration of the process to formulate and implement NAPs (e.g. in 2–3 years) a country would start implementing projects, strategies and programmes and subsequently revise the work plan according to new scientific findings and assessments as well as the outcomes of the monitoring and review. The mandate for the process to formulate and implement NAPs would have specified the frequency for producing the NAP documents and a process for continuous assessment and monitoring to support subsequent plans.



**Table 2: Indicative financial resources for supporting the initial iteration of the process to formulate and implement NAPs**

Indicative cluster of activities			Indicative budget (USD)
<b>Launching the process to formulate and implement NAPs</b>			Small preparation grant
Initial scoping of existing activities	Awareness-raising among stakeholders	Revision of policies if necessary	
<b>Framing the national process, and developing a framework or roadmap</b>			Equivalent of the Project Preparation Grant under the GEF/LDCF
Synthesis of available info	Stocktaking and gap analysis	Development and adaptation linkages	
Roadmap, strategy or framework	Institutional arrangements	Defining an M&E system	
<b>Assessments, appraisal, prioritization</b>			Bulk of the core funding to conduct various assessments, identify and prioritize options, outreach, etc.
Risks and vulnerabilities Integrate adaptation into development	Climate change scenarios	V&A assessments by sectors/themes	
Appraisal of options	Prioritization	Compilation and communication of NAPs	
adaptation into development	Enhancing capacity for the process to formulate and implement NAPs	Outreach, communication	
<b>Implementation strategies, reporting, monitoring and review</b>			Funding for developing implementation strategies and for reporting, monitoring and review
Implementation strategies, synergy	Report on progress, effectiveness, gaps	Monitoring and review of process	
Preparation for next iteration			
<b>Total indicative total budget</b>			<b>Total</b> › Up to USD 2 million for medium-sized projects › Above USD 2 million for full-sized projects)

## C. FUNDING NAP ACTIVITIES UNDER NAPA IMPLEMENTATION PROJECTS

Based on the GEF operational paper for supporting NAPs, the LDCs may also integrate relevant activities on NAPs in their LDCF projects for the implementation of NAPAs. Such activities would primarily be designed to yield tangible investments that address NAPA priorities.<sup>18</sup>

<sup>18</sup> GEF document GEF/LDCF.SCCF14/06 available at <[www.thegef.org/gef/council\\_document/operationalizing-support-preparation-national-adaptation-plan-process-response-guid](http://www.thegef.org/gef/council_document/operationalizing-support-preparation-national-adaptation-plan-process-response-guid)>.

## 12. ACCESSING FUNDING FOR THE PROCESS TO FORMULATE AND IMPLEMENT NAPS UNDER THE GCF

The GCF finances projects and programmes that are in line with its Results Management Framework which defines eight strategic impacts to be achieved. The strategic impact areas for adaptation are: health, food and water security; livelihoods of people and communities; infrastructure and built environment; and ecosystems and ecosystem services.<sup>19</sup> In addition to the strategic impact areas, the GCF also defines outcomes for the project and programme level in a Performance Measurement Framework that specifies the indicators.<sup>20</sup>

So far, Parties can engage with the GCF through the following three approaches:

- a) Establishing and maintaining a national designated authority (NDA) or focal point which functions as the main interface between the country and the GCF and ensures that activities funded by the GCF are in line with the national objectives and priorities;
- b) Identifying and seeking accreditation of entities to access resources from the GCF which need to meet the GCF's fiduciary standards and environmental and social safeguards and be aligned with its objectives;<sup>21</sup>
- c) Developing projects and programmes through accredited entities<sup>22</sup> in partnership with NDAs and focal points.

The GCF also provides readiness and preparatory support activities to enhance country ownership and to ensure access during the early stages of the GCF. The support provided is cross-cutting, ongoing and iterative to strengthen the interaction between the country and the GCF. The readiness programme targets all developing countries, and prioritizes particularly vulnerable countries such as LDCs, SIDS, and African States.

The readiness and preparatory support programme has five main activity areas:

- a) Strengthening NDAs and focal points;
- b) Developing strategic frameworks;
- c) Accrediting entities;
- d) Developing project pipelines;
- e) Sharing information and experiences.

The GCF Board approved a first set of projects in early November 2015. Two of the eight approved projects were from the LDCs. More information about the project proposals considered is available on the GCF website for its 11th Board Meeting.<sup>23</sup>

---

<sup>19</sup> The GCF's RMF is available at: <[www.gcfund.org/fileadmin/oo\\_customer/documents/Operations/5.2\\_RMF.pdf](http://www.gcfund.org/fileadmin/oo_customer/documents/Operations/5.2_RMF.pdf)>

<sup>20</sup> The GCF's PMF is available at: <[www.gcfund.org/fileadmin/oo\\_customer/documents/Operations/5.3\\_Initial\\_PMF.pdf](http://www.gcfund.org/fileadmin/oo_customer/documents/Operations/5.3_Initial_PMF.pdf)>

<sup>21</sup> More information on the GCF's accreditation process is available at: <[www.gcfund.org/operations/accreditation.html](http://www.gcfund.org/operations/accreditation.html)>.

<sup>22</sup> A list of entities accredited with the GCF is available at: <[www.gcfund.org/operations/accreditation/accredited-entities.html](http://www.gcfund.org/operations/accreditation/accredited-entities.html)>

<sup>23</sup> <<http://www.greenclimate.fund/-/b-11>>.



# ANNEX I:

## TIMELINE OF DECISIONS ON NATIONAL ADAPTATION PLANS

### **2010 DECISION 1/CP.16: THE CANCUN AGREEMENTS: OUTCOME OF THE WORK OF THE AD HOC WORKING GROUP ON**

- › Long-term Cooperative Action under the Convention
- › Established the process to formulate and implement national adaptation plans

### **2011 DECISION 5/CP.17: NATIONAL ADAPTATION PLANS**

- › Objectives of the national adaptation plan (NAP) process; adopting initial guidelines, modalities and financial arrangements for the least developed countries (LDCs); deciding modalities for non-LDCs; referring to reporting, monitoring and evaluation
- › Identified what the NAP process seeks to achieve: reduction of vulnerability and integration of adaptation into development
- › Laid out initial guidelines for the formulation of NAPs
- › Requested the Least Developed Countries Expert Group (LEG) to prepare technical guidelines for the NAP process
- › Urged developed countries to mobilize financial support for the NAP process in the LDCs through bilateral and multilateral channels, including the Least Developed Countries Fund (LDCF)
- › Invited United Nations, specialized, bilateral and multilateral agencies to establish NAP support programmes to facilitate financial and technical support
- › Encouraged the LDCs to provide information on their NAP process through their national communications as well as other channels
- › Requested the Global Environment Facility (GEF) to consider how to enable activities through the LDCF for the preparation of the NAP process

### **DECISION 3/CP.17: LAUNCHING THE GREEN CLIMATE FUND**

- › The Green Climate Fund will provide resources for readiness and preparatory activities, including NAPs
- › It will support developing countries in pursuing project-based and programmatic approaches in accordance with climate change strategies and plans, such as NAPs and other related activities

#### **2012 DECISION 12/CP.18: NATIONAL ADAPTATION PLANS**

- › Decided that the GEF would provide financial support to the LDCs from the LCDF to enable activities for the preparation of the NAP process
- › Urged developed country Parties to mobilize financial support for the NAP process for interested non-LDC developing country Parties through bilateral and multilateral channels, including through the Special Climate Change Fund (SCCF)
- › Requested the GEF to consider how to enable activities through the SCCF for the preparation of the NAP process for non-LDC developing countries
- › Decided to assess the progress made in implementing this decision, and to consider adoption of further guidance, as appropriate, at the twentieth session of the Conference of the Parties (COP)

#### **DECISION 18/CP.19: NATIONAL ADAPTATION PLANS**

- › Invited United Nations, specialized, bilateral and multilateral agencies to consider establishing or enhancing NAP support programmes for non-LDC developing countries
- › Decided to continue to take stock of the NAP process at COP 20

#### **2014 DECISION 3/CP.20: NATIONAL ADAPTATION PLANS**

- › Recognized that the process to formulate and implement NAPs is fundamental for building adaptive capacity and reducing vulnerability
- › Recognized the continuous, iterative and long-term nature of the national adaptation plan process
- › Acknowledged the importance of communicating on NAPs
- › Decided that there is a need to enhance reporting on NAPs
- › Noted that there is a need to strengthen the existing reporting on NAPs
- › Decided to explore options on enhanced reporting
- › Invited LDC and non-LDC Parties to forward NAPs or outcomes related to NAPs to NAP Central
- › Requested the Adaptation Committee and the LEG, in collaboration with the GCF, how Parties can access financing from the GCF for their process to formulate and implement NAPs.

## ANNEX II:

### ABOUT THE LEAST DEVELOPED COUNTRIES EXPERT GROUP (LEG)

#### **MANDATE OF THE LEG**

As at November 2015, the LEG is mandated as follows (decisions 29/CP.7, 4/CP.11, 8/CP.13, 6/CP.16, 5/CP.17, 12/CP.18, and 3/CP.20):

- (a) To provide technical guidance and advice on the preparation and on the implementation strategy of NAPAs, including the identification of possible sources of data and its subsequent application and interpretation, upon request by LDC Parties;
- (b) To develop a work programme that includes implementation of NAPAs;
- (c) To serve in an advisory capacity to the LDCs, for the preparation and strategy for implementation of NAPAs through, *inter alia*, workshops, upon request by LDC Parties;
- (d) To advise on capacity-building needs for the preparation and implementation of NAPAs and to provide recommendations, as appropriate, taking into account the Capacity Development Initiative of the Global Environment Facility and other relevant capacity-building initiatives;
- (e) To facilitate the exchange of information and to promote regional synergies, and synergies with other multilateral environment conventions, in the preparation and in the implementation strategy of NAPAs;
- (f) To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development;
- (g) To develop a work programme that takes into account the Nairobi work programme;
- (h) To provide technical guidance and advice on the revision and update of NAPAs to further improve their quality, to facilitate integration of adaptation actions of LDCs into development planning and to reflect increased adaptation knowledge and changed priorities in the countries, upon request by LDCs;
- (i) To provide technical guidance and advice on the identification of medium- and long-term adaptation needs, their integration into development planning and the implementation of identified adaptation activities;
- (j) To provide technical guidance and advice on strengthening gender-related considerations and considerations regarding vulnerable communities within LDC Parties;
- (k) To provide technical guidance and advice on the implementation of the elements of the LDC work programme other than the preparation and implementation of NAPA that are relevant to the expertise of the LEG;
- (l) To provide technical guidance and support to the national adaptation plan process, as appropriate;

- (m) To prioritize support for the formulation and implementation of national adaptation plans in carrying out its mandate to support the identification and implementation of medium- and long-term adaptation in least developed countries;
- (n) To prepare technical guidelines for the national adaptation plan process, based on the initial guidelines, included in the annex to this decision;
- (o) To arrange a review of the above-mentioned technical guidelines and to identify support needs for the process of formulation and implementation of the national adaptation plans;
- (p) To invite the Adaptation Committee and other relevant bodies under the Convention to contribute to its work in support of the national adaptation plan process; and to report, as appropriate;
- (q) To include information in their reports on how they have responded to the requests made in this decision and on their activities relevant to the national adaptation plan process, as per their respective mandates, and to make recommendations accordingly;
- (r) To consider, with the Adaptation Committee and in collaboration with the Green Climate Fund, how to best support developing country Parties in accessing funding from the Green Climate Fund for the process to formulate and implement national adaptation plans, and to report thereon to the Subsidiary Body for Implementation as its forty-second session.

## SELECTED LEG PUBLICATIONS

Least Developed Countries Expert Group. 2015. Sourcebook for the process to formulate and implement NAPs. UNFCCC: Bonn, Germany. To be made available at <<http://unfccc.int/6110>>.

Least Developed Countries Expert Group. 2015. Overview of the process to formulate and implement NAPs and the NAP technical guidelines. UNFCCC: Bonn, Germany. To be made available at <<http://unfccc.int/6110>>.

Least Developed Countries Expert Group. 2015. A tool for monitoring progress, effectiveness and gaps in the process to formulate and implement national adaptation plans. UNFCCC: Bonn, Germany. To be made available at <<http://unfccc.int/6110>>.

Least Developed Countries Expert Group. 2015. Regional synergy in addressing adaptation through the national adaptation programmes of action and the national adaptation plan process in least developed countries. UNFCCC: Bonn, Germany.  
To be made available at <<http://unfccc.int/6110>>.

Least Developed Countries Expert Group. 2015. Strengthening gender considerations in adaptation planning and implementation in the least developed countries. UNFCCC: Bonn, Germany. To be made available at <<http://unfccc.int/6110>>.

Least Developed Countries Expert Group. 2012. National adaptation plans: Technical guidelines for the national adaptation plan process. FCCC/GEN/288 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/publication\\_ldc\\_nap\\_techguidelines.pdf](http://unfccc.int/resource/docs/publications/publication_ldc_nap_techguidelines.pdf)>.

Least Developed Countries Expert Group. 2012. The national adaptation plan process – a brief overview. FCCC/GEN/283 E, UNFCCC: Bonn, Germany.  
Available at <[http://unfccc.int/resource/docs/publications/publication\\_ldc\\_napp\\_2013.pdf](http://unfccc.int/resource/docs/publications/publication_ldc_napp_2013.pdf)>.

Least Developed Countries Expert Group. 2012. Best practices and lessons learned in addressing adaptation in the least developed countries, volume 2. FCCC/GEN/278 E, UNFCCC: Bonn, Germany.  
Available at <[http://unfccc.int/resource/docs/publications/ldc\\_publication\\_bbll\\_2012.pdf](http://unfccc.int/resource/docs/publications/ldc_publication_bbll_2012.pdf)>.

Least Developed Countries Expert Group, 2011. Best practices and lessons learned in addressing adaptation in the least developed countries through the national adaptation programme of action process, volume 1. FCCC/GEN/263 E, UNFCCC: Bonn, Germany.  
Available at <[http://unfccc.int/resource/docs/publications/ldc\\_publication\\_bbll\\_2011.pdf](http://unfccc.int/resource/docs/publications/ldc_publication_bbll_2011.pdf)>.

Least Developed Countries Expert Group. 2011. Meilleures pratiques et enseignements. Expériences acquises dans les pays les moins avancés avec les programmes d'action nationaux aux fins de l'adaptation, volume 1. FCCC/GEN/263 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_publication\\_bbll\\_2011fre.pdf](http://unfccc.int/resource/docs/publications/ldc_publication_bbll_2011fre.pdf)>.

Least Developed Countries Expert Group. 2011. Melhores práticas e lições aprendidas na abordagem à adaptação em países menos desenvolvidos com o processo do programa de ação nacional de adaptação, volume 1. FCCC/GEN/263 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_publication\\_bbll\\_2011prt.pdf](http://unfccc.int/resource/docs/publications/ldc_publication_bbll_2011prt.pdf)>.

UNFCCC. 2011. Identification and implementation of medium- and long-term adaptation activities in least developed countries. Technical paper FCCC/TP/2011/7, Least Developed Countries expert Group, UNFCCC: Bonn, Germany. Available at <<http://unfccc.int/resource/docs/2011/tp/07.pdf>>.

UNFCCC 2011. Reducing vulnerability to climate change, climate variability and extremes, land degradation and loss of biodiversity: Environmental and developmental challenges and opportunities. FCCC/GEN/261 E, UNFCCC: Bonn, Germany.

Available at <[http://unfccc.int/resource/docs/publications/ldc\\_reducingvulnerability.pdf](http://unfccc.int/resource/docs/publications/ldc_reducingvulnerability.pdf)>.

Least Developed Countries Expert Group. 2009. Step-by-Step Guide for Implementing National Adaptation Programmes of Action. FCCC/GEN/250E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf)>.

Least Developed Countries Expert Group. 2009. Guide des étapes à suivre pour la mise en oeuvre des programmes d'action nationaux aux fins de l'adaptation. FCCC/GEN/250 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009\\_fr.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009_fr.pdf)>.

Least Developed Countries Expert Group. 2009. Guia passo-a-passo para implementação de programas de ação nacional de adaptação. FCCC/ GEN/250 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009\\_pr.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009_pr.pdf)>.

Least Developed Countries Expert Group. 2009. NAPA Source Kit CD-ROM. For hard copies of the CD-ROM, contact the secretariat.

Least Developed Countries Expert Group. 2009. Support Needed to Fully Implement National Adaptation Programmes of Action. FCCC/GEN/253 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/09\\_ldc\\_sn\\_napa.pdf](http://unfccc.int/resource/docs/publications/09_ldc_sn_napa.pdf)>.

Least Developed Countries Expert Group. 2009. Overview of Preparation, Design of Implementation Strategies and Submission of Revised Project Lists and Profiles. FCCC/GEN/248 E, UNFCCC: Bonn, Germany. Available at <[http://unfccc.int/resource/docs/publications/ldc\\_tp2009.pdf](http://unfccc.int/resource/docs/publications/ldc_tp2009.pdf)>.

Least Developed Countries Expert Group. 2009: Least Developed Countries under the UNFCCC. LDC Brochure FCCC/GEN/249 B, UNFCCC: Bonn, Germany.

Available at <[http://unfccc.int/resource/docs/publications/ldc\\_brochure2009.pdf](http://unfccc.int/resource/docs/publications/ldc_brochure2009.pdf)>.

UNFCCC. 2005. Synthesis of Available Information for the Preparation of National Adaptation Programmes of Action. Technical Paper FCCC/TP/2005/2, Least Developed Countries expert Group, UNFCCC: Bonn, Germany. Available at <<http://unfccc.int/resource/docs/2005/tp/eng/02.pdf>>.

UNFCCC. 2005. Synergy Among Multilateral Environmental Agreements. Technical Paper FCCC/TP/2005/3, Least Developed Countries expert Group, UNFCCC: Bonn, Germany. Available at <<http://unfccc.int/resource/docs/2005/tp/eng/03.pdf>>.

UNFCCC. 2005. Regional synergy in the Context of National Adaptation Programmes of Action. Technical Paper FCCC/TP/2005/4, Least Developed Countries expert Group, UNFCCC: Bonn, Germany. Available at <<http://unfccc.int/resource/docs/2005/tp/eng/04.pdf>>.

UNFCCC. 2005. Elements for Implementation Strategies for National Adaptation Programmes of Action. Technical Paper FCCC/TP/2005/5, Least Developed Countries Expert Group, UNFCCC: Bonn, Germany. Available at <<http://unfccc.int/resource/docs/2005/tp/eng/05.pdf>>.

Least Developed Countries Expert Group. 2005. Selection of Examples and Exercises Drawn from the Regional NAPA Preparation Workshops. UNFCCC: Bonn, Germany.

Available at <<http://unfccc.int/6110>>.

**MEMBERS OF THE LEG OVER THE PERIOD 2012–2015**

Name	Country
Mr. Abias Huongo	Angola
Mr. Ibila Djibril	Benin
Mr. Thinley Namgyel	Bhutan
Mr. Matti Nummelin	Finland
Mr. Mosuoe Letuma	Lesotho
Mr. Benon Bibbu Yassin	Malawi
Mr. Batu Krishna Upadhyay	Nepal
Mr. Jan Verhagen	Netherlands
Ms. Marianne Karlsen	Norway
Mr. Douglas Yee	Solomon Islands
Mr. Paul Abiziou Tchinguilou	Togo
Ms. Pepetua Elelioni Latasi	Tuvalu
Mr. Fredrick Manyika	United Republic of Tanzania

© 2016 United Nations Climate Change Secretariat

All rights reserved

This publication is issued for public information purposes and is not an official text of the Convention in any legal or technical sense. Unless otherwise noted in captions or graphics, all matter may be freely reproduced in part or in full, provided the source is acknowledged.

For further information, contact:

**United Nations Climate Change Secretariat**  
**UN Campus**  
**Platz der Vereinten Nationen 1**  
**53113 Bonn**  
**Germany**  
**Telephone +49 228 815 10 00**  
**Telefax +49 228 815 19 99**

**The LDCs are supported through the programme dedicated to Adaptation at the UNFCCC secretariat. Please visit the LDC portal at <http://www.unfccc.int/ldc> and NAP Central at <http://unfccc.int/nap>.**

ISBN 978-92-9219-169-6

Photos:

© PAUL V. DESANKER (cover, pages 9, 11, 17, 18, 21)  
© MOTSOMI MALETJANE (pages 2, 4, 7)

Design and layout: Phoenix Design Aid A/S







**United Nations**  
Framework Convention on  
Climate Change