

Introduction and a quick guide to the process to formulate and implement national adaptation plans (NAPs), and the Essential Functions

LEG regional training workshop on national adaptation plans (NAPs) for Asian countries

10-15 August 2015, Yangon, Myanmar



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.

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

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

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;

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;



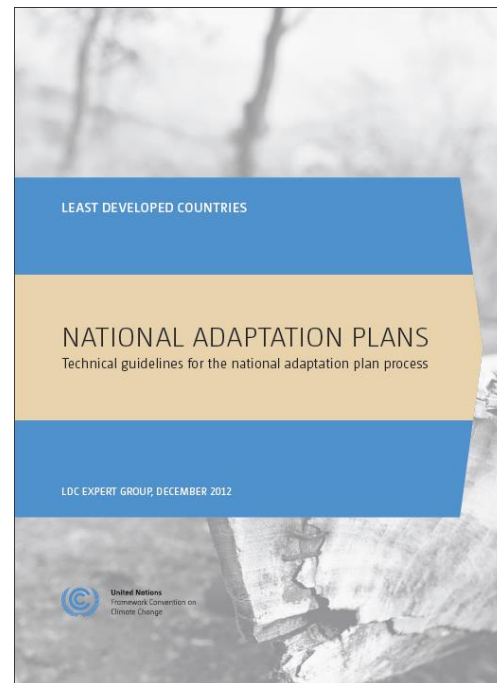
Guiding principles of the process (decision 5/CP.17)

- ☐ 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



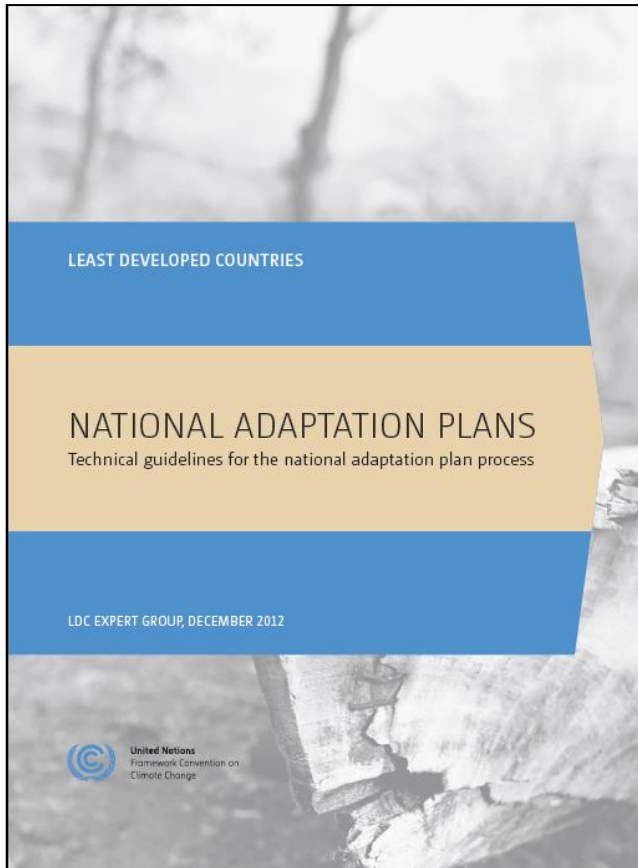
Guidelines

- 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>



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

Technical guidelines for the NAP process



Source: UNFCCC (2012)



Laying the Groundwork

- A.1. Initiating NAP process
- A.2.: Stocktaking
- A.3.: Addressing Capacity Gaps
- A.4.: Development Needs and Climate Vulnerabilities

Preparation

- B.1. Analysing Current & Future Climate
- B.2. Assessing Climate Vuln. and Adaptation Options
- B.3. Review and Appraisal of Options
- B.4. Compiling, Communicating NAPs
- B.5. Integrating NAP into Development, Planning

Implementation

- C.1. Prioritizing CCA in National Planning
- C.2. Long-term Implementation Strategy
- C.3. Enhancing Capacity for Planning, Implementation
- C.4. Promoting Coordination and Synergy

Reporting, Monitoring, Review

- D.1. Monitoring the NAP Process
- D.2. Assess Progress, Effectiveness, Gaps
- D.3. Iteratively Update NAPs
- D.4. Outreach and Reporting on Progress

Sample Process to Formulate and Implement NAPs

Element A: Lay the ground work and address gaps

Launch NAP work with interim institutional arrangements

Synthesize available information, resources, programmes, development goals, map actors and stakeholders, etc (Stocktake/Gaps and needs)

Stocktaking;
gap analysis and needs report;
Stakeholder mapping;
Profile of actors

Characterize the development context: Identify development-adaptation themes and goals/ objectives to focus on

Determinants of development and vulnerability

Define mandate & strategy, and national institutional arrangements (Governance & coordination)

NAP Mandate & National climate resilient development strategy or framework

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

Road Map for the NAP process

Analyse past climate and climate change scenarios & characterize climate risk

Risk analysis report & summaries

Assess climate risks and vulnerability

Risk and vulnerability assessment report

Identify adaptation options to address key vulnerabilities

Adaptation options database

Envisioning the future: Scenarios and pathways of development in a changing climate

Envisioning report

Appraise adaptation options to prioritize and rank

National Adaptation Plan (NAP)

Design of coherent implementation strategies including synergy

NAP + implementation strategy + Strategic Framework for Adaptation

Implementation and management of actions through policies, programmes, projects and other activities

Proposals for policies, projects and programmes; institutional capacity building (broaden)

Monitor & periodically review the NAP process

Monitoring and review reports

Report on progress, effectiveness and gaps

Element B: Preparatory elements

Element C: Implementation strategies

Element D: Reporting, monitoring and review



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Element A: Lay the ground work and address gaps

Element B: Preparatory elements

Essential functions of the process to formulate and implement NAPs



- 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)

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



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



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