



Global Environment Facility

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OPERATIONAL GUIDELINES FOR EXPEDITED FUNDING FOR THE
PREPARATION OF
NATIONAL ADAPTATION PROGRAMS OF ACTION
BY LEAST DEVELOPED COUNTRIES

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BACKGROUND

1. In November 2001, the Conference of the Parties to the United Nations Framework Convention on Climate Change, at its seventh session (COP 7 of the UNFCCC) decided that the least developed countries (LDCs) should be assisted in preparing national adaptation programs of action (NAPAs) to address urgent and immediate needs and concerns related to adaptation to the adverse effects of climate change. It also requested the GEF¹ to provide funding for preparing NAPAs, as the first activity under the LDC fund.² COP 7 decisions on matters related to LDCs are reproduced in Annex C of this document.

2. In December 2001, the GEF Council responded to these COP decisions by authorizing GEF support to LDCs for the preparation of NAPAs with anticipated funds from contributions towards the LDC fund.³ These operational guidelines for the funding of NAPAs are intended to assist LDCs to prepare proposals for obtaining GEF funds through an expedited process.

RATIONALE AND OBJECTIVES OF NAPAS

3. Decision 28/CP.7 recognizes that “many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future, or to convey their urgent and immediate needs in respect of their vulnerability and adaptation to the adverse effects of climate change.”⁴ The rationale for NAPAs “rests on the low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change.”⁵

4. The objective of NAPAs is to “serve as simplified and direct channels of communication for information relating to the urgent and immediate adaptation needs of the LDCs.”⁶ The preparation of NAPAs is also seen as a capacity building measure, for information contained in them may “constitute the first step in the preparation of initial national communications, and would help to build capacity for addressing urgent and immediate adaptation needs, as well as for the preparation of national communications.”⁷

¹ As the entity operating the financial mechanism of the UNFCCC.

² Established by decision 7/ CP.7 of the COP of the UNFCCC.

³ Paragraph 15 (c) of the Joint summary of the chairs of the GEF Council meeting of December 2001.

⁴ See page C 6.

⁵ Decision 28/ CP.7, paragraph 2 of the Annex (see page C 7).

⁶ *ibid*, paragraph 5 of the Annex (see page C 7).

⁷ *ibid*, third preambular paragraph (see page C 6).

‘GUIDING ELEMENTS’ OF NAPAS

5. The ‘guiding elements’ for the preparation of NAPAs as laid down by the COP 7 decision are particularly important to note:

“The preparation of NAPAs will be guided by the following:

- a) A participatory process involving stakeholders, particularly local communities;
- b) A multidisciplinary approach;
- c) A complementary approach, building upon existing plans and programs, including national action plans under the United Nations Convention to Combat Desertification, national biodiversity strategies and action plans under the Convention on Biodiversity, and national sectoral policies;
- d) Sustainable development;
- e) Gender equality;
- f) A country-driven approach;
- g) Sound environmental management;
- h) Cost-effectiveness;
- i) Simplicity; and
- j) Flexibility of procedures based on individual country circumstances.”⁸

6. The COP thus encourages countries to adopt a streamlined process based on existing or ongoing studies and research and/ or empirical and historical information and traditional knowledge, engaging a wide range of stakeholders, and delivering an action oriented document which enjoys wide national ownership and political endorsement. The broader context of national frameworks for sustainable development is important, as is the complementarity with plans and programs under other closely related areas of global environmental concerns such as desertification and biodiversity, and national sectoral policies.

⁸ *ibid*, paragraph 7 (see page C 8).

7. The GEF will follow these COP guidelines very closely in extending assistance to LDCs in the preparation of NAPAs, while recognizing the need for flexibility to allow for individual country circumstances.

THE PROCESS OF NAPA PREPARATION

8. The COP 7 decision recommends a logical process⁹ for undertaking the preparation of NAPAs, which may include

- a) a national NAPA team composed of a lead agency and representatives of stakeholders, including the finance and development/ planning ministries to the extent possible. The team will be constituted by the climate change focal point of the country through an “open and flexible process that will be inclusive and transparent.” The NAPA team will be responsible for preparing the NAPA and coordinating the implementation of its activities;
- b) a multidisciplinary team to synthesize available information, conduct a participatory assessment of vulnerability to climate change; identify key climate change adaptation measures based on the above mentioned assessment, and identify and prioritize country driven criteria for selecting priority activities;
- c) development and prioritization of proposals on the basis of agreed criteria¹⁰ and in the format provided by the COP decision;
- d) preparation of the NAPA document in the format established by the COP;
- e) public review and revision of the document;
- f) final review by a team of government and civil society representatives including the private sector, with any advice solicited from the LDC Expert Group;
- g) national government endorsement; and
- h) public dissemination of the final document.

9. The GEF attaches great significance to this holistic, multidisciplinary and cross sectoral approach, openness and transparency of the process, and the participation of a wide range of stakeholders at various stages in the preparation of NAPAs. In proposals for assistance, the GEF will seek information on how each of these requirements will be met by countries during project

⁹ *ibid*, paragraph 8 (see pages C 8, 9 and 10).

¹⁰ Criteria for prioritization are to be nationally agreed in each country during the process of NAPA preparation. Please see paragraphs 8 (iv), 15 and 16 of the Annex to Decision 28/ CP.7 (pages C 9, 11 and 12).

implementation. It is expected that the exact modalities will differ among countries because their administrative and institutional structures and processes differ, and the GEF will fully respect these variations. If a country wishes to depart significantly from the process recommended by COP 7, the GEF will be consider the reasons for the alternative course of action proposed.

RELATIONSHIP WITH NATIONAL COMMUNICATIONS

10. COP 7 emphasized the close linkage between initial national communications and NAPAs, in terms of content as well as capacity building.¹¹ Countries that have undertaken GEF assisted climate change enabling activities will use the outputs of those projects in NAPAs, and in turn the preparation of NAPAs will contribute to building capacity for the formulation of national communications. For instance, the “introduction and setting” part of the NAPA document¹² could build on relevant material in the “national circumstances” part of the initial national communication, and vice versa for subsequent national communications (at least those that follow the guidelines of decision 10/ CP.2). The same example applies to work related to vulnerability and adaptation for purposes of the initial national communication.

11. The close linkage with enabling activities should be strongly reflected in institutional coordination with country level agencies previously or concurrently engaged in enabling activities, including GEF supported capacity needs self assessments. The GEF will seek an overall understanding of how such coordination will be effected during project implementation when considering proposals under the current guidelines.

FINAL OUTPUT

12. The final NAPA document should be in the format established by the COP,¹³ which also recommends that the document should be easy to understand, action-oriented and country driven, and should set clear priorities for urgent and immediate adaptation activities.¹⁴ The final product should be made available in one of the official languages of the United Nations, and a common local language (if other than a UN language) for purposes of dissemination.

TIME FRAME

13. In view of the importance and urgency accorded to NAPAs, and the nature of the exercise which relies entirely on existing reports and data, it is envisaged that most countries will aim at completing the preparation of NAPAs within 12 to 18 months of the availability of funds. Special circumstance in some countries may warrant a longer time-frame, but the benefits of preparing a NAPA

¹¹ Preamble of decision 28/ CP.7 (see page C 6), and paragraph 1 (a) of decision 27/ CP.7 (see page C 1).

¹² Paragraph 9 of the annex to decision 28/ CP. 7 (see page C 10).

¹³ *ibid*, paragraphs 9 to 19 (see pages C 10 to 12).

¹⁴ *ibid*, paragraph 6 (see page C 7).

quickly are self evident. The fact that most countries have addressed their vulnerability and adaptation issues to some extent during the formulation of initial national communications or other studies should significantly expedite the process.

FORMULATION OF PROPOSALS FOR GEF ASSISTANCE

14. The GEF will provide assistance for the preparation of NAPAs through one of the GEF Implementing Agencies (UNDP, UNEP or the World Bank) in the form of enabling activities. Since NAPAs are closely related to initial national communications (please see paragraph 10 above), there is perceivable advantage for a country to submit its proposal for GEF funding through the Implementing Agency (IA) from which it received GEF assistance for its climate change enabling activity. If a country wishes to work with a different IA, the GEF would be open to discussing modalities, including issues of coordination and continuity, so as to ensure the full utilization of earlier and ongoing work.

15. Proposals will be submitted by the IAs to the GEF Secretariat in the format contained in Annex A of this document. GEF support for the preparation of NAPAs will be on a full agreed cost basis, as is applicable to enabling activities. It will be observed that no budget ranges are suggested for line items in the budget format, allowing countries the flexibility to allocate the available resources in accordance with their circumstances and priorities.

16. If the COP of the UNFCCC decides to amend the guidelines¹⁵ for the preparation of NAPAs after the process has been launched on the basis of COP 7 guidelines, countries may have the opportunity to revise the approved project activities in consultation with the IA concerned.

Use of LDC Expert Group/ other experts

17. The COP 7 has established an LDC Expert Group¹⁶ (LEG) with the objective of advising on the preparation and implementation strategy for NAPAs. The mandate of the expert group includes advice and technical guidance to individual countries, upon request, for the preparation and the implementation strategy of NAPAs. If a country requests specific assistance from the LEG which is in accordance with LEG rules, expenditure to obtain such assistance (such as travel by a member or members of the LEG, or a workshop) may be met from the technical assistance budget, if necessary through reallocation of project funds in consultation with the IA concerned.

18. In general the GEF will encourage the use of national and, where appropriate, regional experts for the preparation of NAPAs, in accordance with its own operational policy and paragraph 1 (f) of decision 27/ CP. 7 of the COP.¹⁷

¹⁵ Please see paragraph 3 of decision 28/ CP.7 (page C 7).

¹⁶ Decision 29/ CP. 7 (see page C 3 to C 5).

¹⁷ Please see page C 1.

Focal point endorsements

19. As is usual in GEF projects, an endorsement from the country's GEF operational focal point will be required in order to confirm country ownership of the proposal. The national climate change focal point has been given a central role in establishing the NAPA team and guiding the process, and will be closely involved in preparing the proposal for GEF assistance. Therefore the national climate change focal point (as notified by the country to the UNFCCC Secretariat) should also endorse the proposal before it is submitted to the GEF Secretariat.

REVIEW AND APPROVAL OF PROPOSALS

20. Proposals for assistance to prepare NAPAs will be reviewed by the GEF Secretariat in accordance with expedited approval procedures for enabling activities, summarized in Annex B of these operational guidelines. Proposals that do not exceed \$200,000¹⁸ may be approved by the Chief Executive Officer of the GEF using these expedited procedures, subject to the availability of funds in the LDC fund. Individual country proposals that exceed this amount will be processed for submission to the GEF Council as regular GEF projects.

21. The GEF Secretariat and the Implementing Agencies will be happy to provide clarifications about these operational guidelines, if needed. Please direct your query to secretariatofgef@worldbank.org or contact a field office of one of the Implementing Agencies.

¹⁸On the basis of previous experience with enabling activities, it is expected that 12 month projects will typically be in the range of US \$100,000, while 18 month or longer projects in countries with special circumstances may approach the higher range of \$200,000.

ANNEX A

PROPOSAL FOR FUNDING FOR THE PREPARATION OF
A NATIONAL ADAPTATION PROGRAM OF ACTION (NAPA)

(FORMAT)

Country name:

Project title:

GEF Implementing Agency:

GEF operational focal point:

Climate change focal point

National executing agency:

Country eligibility:

- (i) LDC status
- (ii) Date of UNFCCC ratification

GEF financing:

Government contribution:

Estimated total budget:

Estimated starting date:

Duration:

1. Background: Provide brief basic information on the country, particularly on its geo-physical and socio-economic attributes which makes the country more vulnerable to the impacts of climate change.

2. Institutional Context: Describe the institutional setting for activities related to climate change in general and vulnerability and adaptation in particular including the mandate and powers of key ministries, agencies, and other institutions.

3. Objectives, and linkages to ongoing activities:

- a) Briefly state the objectives of the project.
- b) Describe briefly the status of the country's climate change and biodiversity enabling activities, specially citing action-oriented adaptation options addressed in the former, progress in the preparation of its initial national communication/ national report under the UNFCCC and CBD respectively, and its national action plan under the CCD.
- c) The status of previous related activities such as NEAPs, NEMPs, NSSDs, NAPs (CCD), NBSAPs (CBD), GEF funded EAs in climate change, biodiversity, biosafety, POP's, etc
- d) Provide information on the status of other related on-going activities such as reports and preparation for WSSD, GEF funded capacity needs self assessments as well as other plans and programs, including national strategies for sustainable development, the Program of Action for the LDCs, the UN development assistance framework, and other national sectoral policies relevant to adaptation

4. Project activities and Outputs: Provide brief descriptions of the activities to be carried out in developing the NAPA. In particular summarize how each of the following, plus any additional key activities, will be carried out:

- a) establishment, composition and mandate of a national NAPA team with a lead agency
- b) assembly of a multidisciplinary integrated assessment team
- c) synthesis of available information on adverse effects of climate change
- d) participatory assessment of vulnerability to current climate variability
- e) identification of key climate change adaptation measures

- f) identification and agreement on country driven criteria for selecting priority activities to address the adverse effects of climate change
- g) development of proposals for priority activities to address needs arising from the adverse effects of climate change, including national/ sub-national consultations for the purpose
- h) public review of the draft NAPA document
- i) final review of the NAPA document by government and civil society representatives, followed by endorsement by the national government,
- j) public dissemination (including translation as necessary).

5. Institutional arrangements for oversight and coordination

Explain the institutional arrangements for implementation including:

- a) high level political oversight, coordination and policy integration
- b) project management and operational coordination
- c) coordination with climate change team for the country's national communication to the UNFCCC,
- d) coordination with other teams for the preparation of national reports (CBD, CCD, others).

6. Timetable: Provide a month by month time line sequencing the various activities described.

Budget (US \$)

| ACTIVITY | STOCKTAKING | PROCESS: (ASSESSMENTS, CONSULTATIONS, WORKSHOPS, ETC.) | PRODUCT: ASSESSMENT REPORTS/ STRATEGY AND ACTION PLAN | TOTAL |
|---|-------------|--|--|-------|
| Assessment and prioritization | | | | |
| <i>1) Information gathering and synthesis, assessment of vulnerability</i> | | | | |
| i) Synthesis of available information on adverse effects of climate change and coping strategies | | | | |
| ii) Participatory assessment of vulnerability to current climate variability and extreme weather events, and associated risks | | | | |
| <i>2) Identification of adaptation measures, and criteria for priority activities</i> | | | | |
| i) Identification of past and current practices for adaptation to climate change and climate variability | | | | |
| ii) Identification of key climate change adaptation measures | | | | |
| iii) Identification and prioritization of criteria for selecting priority activities | | | | |
| TOTAL (Assessment and prioritization) | | | | |
| Development of proposals for priority activities | | | | |
| 1) National/ sub-national consultative process for short listing potential activities | | | | |
| 2) Selection and identification of priority activities on the basis of agreed criteria | | | | |
| 3) Prepare profiles of priority activities in the prescribed format | | | | |
| TOTAL | | | | |

| ACTIVITY | STOCKTAKING | PROCESS: (ASSESSMENTS, CONSULTATIONS, WORKSHOPS, ETC.) | PRODUCT: ASSESSMENT REPORTS / STRATEGY AND ACTION PLAN | TOTAL |
|--|-------------|--|---|-------|
| (Development of proposals for priority activities) | | | | |
| Preparation , review and finalization of the NAPA | | | | |
| 1) Public review | | | | |
| 2) Final review by government and civil society representatives | | | | |
| 3) Printing, publishing and translation of the final NAPA document | | | | |
| 4) Dissemination | | | | |
| TOTAL (Preparation, review and finalization of NAPA) | | | | |
| Technical assistance | | | | |
| 1) Assistance requested from LDC expert group | | | | |
| 2) Other technical assistance | | | | |
| TOTAL (Technical assistance) | | | | |
| Project coordination and management | | | | |
| TOTAL (Project coordination and management) | | | | |
| TOTAL | | | | |

ANNEX B

REVIEW AND APPROVAL PROCEDURES FOR EXPEDITED ENABLING ACTIVITIES FOR THE PREPARATION OF NAPAS BY LEAST DEVELOPED COUNTRIES

1. Prior to their submission to the Chief Executive Officer of the GEF for approval, project proposals for enabling activities will be sent, by the Implementing Agency (IA) concerned, for review by thematic specialists from the other IAs and the GEF Secretariat, and the secretariat of the UNFCCC.
2. Proposals will also be shared with the Chairperson of the GEF's Scientific and Technical Advisory Panel (STAP). However, a STAP roster review will not be required for enabling activity proposals considered under expedited procedures.
3. Reviewers will have 7 working days to submit their comments and/ or objections to the GEF Secretariat. The Secretariat will convey all relevant comments and objections to the IA concerned, and consult with it as necessary. The IA will revise the proposal as appropriate, in consultation with the recipient country as necessary. On receipt of an appropriately revised proposal the Secretariat will submit it, within two business days, to the CEO for a decision. The CEO will consider the proposal within two business days and inform the Implementing Agency of his decision. Upon CEO approval, 15% of the total budget would be immediately available for preparatory assistance at the country level.
4. If the project proposal deviates significantly from the operational guidelines, or exceeds \$200,000 for a country, it will be reviewed and approved in accordance with standard procedures of the GEF project cycle, including review by an expert from the STAP roster.
5. Once the CEO has approved the enabling activity project proposal, the IA will immediately inform the recipient country and start working with it to finalize the project document and supporting terms of reference with a view to ensuring timely implementation. This will include the immediate release of up to 15% of the budget for preparatory assistance.
6. Once the final project document is approved by the IA and the recipient country, accountability for project implementation rests with the executing agency in the country. The IA will be available throughout project preparation and implementation to promptly provide any assistance requested by the recipient country. A copy of the final project document will be submitted to the GEF Secretariat for its information and for purposes of reporting to the Council
7. The Council will be informed, at each of its regular meetings, of the enabling activity projects approved in accordance with these procedures in the period since its previous meeting.

ANNEX C

DECISIONS OF COP 7 OF THE UNFCCC ON MATTERS RELATED TO LDCs

Decision 27/CP.7

Guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the least developed countries fund

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recalling its decision 5/CP.6 containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,

1. *Decides* to adopt the following initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund (LDC Fund), established under decisions 5/CP.7 and 7/CP.7, to support the work programme for the least developed countries, including, *inter alia*, the preparation and implementation of national adaptation programmes of action (NAPAs) referred to in paragraph 11 of decision 5/CP.7. The operating entity is requested:

- (a) As a first step, to provide funding from the LDC Fund to meet the agreed full cost of preparing the NAPAs, given that the preparation of NAPAs will help to build capacity for the preparation of national communications under Article 12, paragraph 1, of the Convention;
- (b) To ensure complementarity of funding between the LDC Fund and other funds with which the operating entity is entrusted;
- (c) To ensure separation of the LDC Fund from other funds with which the operating entity is entrusted;
- (d) To adopt simplified procedures and arrange for expedited access to the Fund by the least developed countries, while ensuring sound financial management;
- (e) To ensure transparency in all steps relating to the operation of the Fund;
- (f) To encourage the use of national and, where appropriate, regional experts;
- (g) To adopt streamlined procedures for the operation of the Fund;

2. *Requests* the entity referred to in paragraph 1 above to include in its report to the Conference of the Parties the specific steps it has undertaken to implement the provisions of this decision;

3. *Decides* to consider and adopt further guidance to the entity referred to in paragraph 1 above, on the operation of the LDC Fund, at its eighth session.

Decision 29/CP.7

Establishment of a least developed countries expert group

The Conference of the Parties,

Recalling its decision 5/CP.7,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recalling the provisions of paragraph 16 of its decision 5/CP.7, in which, *inter alia*, it decided that, at its current session, consideration should be given to the establishment of a least developed countries expert group, including its terms of reference, taking into account geographical balance,

1. *Decides* to establish a least developed countries expert group, pursuant to the terms of reference included in the annex to the present decision;
2. *Decides also* that, taking into account the unique circumstances of the least developed countries, the establishment of the group referred to in paragraph 1 above does not set a precedent for the establishment of similar groups for other categories of countries;
3. *Requests* the secretariat to facilitate the work of the least developed countries expert group in accordance with the terms of reference included in the annex to the present decision;
4. *Decides* to review, at its ninth session, the progress, need for continuation and terms of reference of the group, including the duration of the term of office of its members, and to adopt a decision thereon, taking into account the implementation needs identified in completed national adaptation programmes of action, as well as the experience of least developed country Parties which have started implementing their national adaptation programmes of action.

Terms of reference of the least developed countries expert group

1. The objective of the least developed countries expert group is to advise on the preparation and implementation strategy for national adaptation programmes of action (NAPAs), which would meet the urgent and immediate adaptation needs of the least developed countries (LDCs). This includes the provision of technical advice relating to the identification of relevant data and information to be synthesized as part of an integrated assessment. The expert group will also provide advice on capacity-building needs for LDCs in support of the preparation and implementation of NAPAs. The expert group will coordinate and collaborate with other relevant efforts relating to adaptation activities for LDCs, including within the greater development context. The expert group will not be directly involved in the execution of identified activities and projects.
2. The group shall consist of 12 experts having recognized competence and appropriate expertise to assist in the development of NAPAs. The group shall consist of five experts from African LDC Parties, two experts from Asian LDC Parties, two experts from small island developing States which are LDC Parties, and three experts from Annex II Parties. At least one selected LDC expert and at least one selected expert from Annex II Parties shall also be a member of the Consultative Group of Experts on National Communications from Parties not included in Annex I. The experts will be selected by the Parties from their respective regions or groups, and shall have expertise in vulnerability and adaptation assessment. The group may draw upon additional expertise as deemed necessary.
3. The expert group shall conduct its work until the ninth session of the Conference of the Parties, subject to a decision by the Conference of the Parties pursuant to paragraph 4 of decision 29/CP.7 above.
4. Members of the group shall serve in their personal capacity and shall have no pecuniary or financial interest in the issues under consideration by the group.
5. The group shall elect annually a chairperson, a vice-chairperson and two rapporteurs from amongst its LDC members.
6. The chairperson, or a representative of the expert group, shall attend meetings of the subsidiary bodies and the Conferences of the Parties.
7. The group shall convene twice each year, as appropriate and, if possible, the secretariat will organize one meeting in 2002 of the expert group back-to-back with the Consultative Group of Experts on National Communications from Parties not included in Annex I, in order to establish a link on issues relating to adaptation.

8. The group shall report on its work and shall propose a programme of work for the remainder of its term, for consideration at the sixteenth session of the Subsidiary Body for Implementation, and shall report on its work to the Subsidiary Body for Implementation at its eighteenth and nineteenth sessions.

9. The group shall be mandated as follows:

(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 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;

(c) 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;

(d) To facilitate the exchange of information and to promote regional synergies, and synergies with other multilateral environmental conventions, in the preparation and in the implementation strategy of NAPAs;

(e) To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development.

10. The group shall also be mandated to provide input into the review, and if necessary revision, of NAPA guidelines at the eighth session of the Conference of the Parties.

11. The secretariat shall support the implementation of the above-mentioned activities and facilitate the preparation of the group's relevant reports, which will be made available to the Parties for consideration at subsequent sessions of the subsidiary bodies.

Decision 28/CP.7

Guidelines for the preparation of national adaptation programmes of action

The Conference of the Parties,

Recognizing the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

Recognizing further that many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future, or to convey their urgent and immediate needs in respect of their vulnerability and adaptation to the adverse effects of climate change,

Recognizing also that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications, and would help to build capacity for addressing urgent and immediate adaptation needs, as well as for the preparation of national communications;

1. *Decides* to adopt the guidelines for the preparation of national adaptation programmes of action included in the annex to the present decision;
2. *Invites* Parties to make submissions with a view to improving the guidelines, by 15 July 2002, for consideration by the Subsidiary Body for Implementation at its seventeenth session;
3. *Decides* to review, and if necessary revise, the guidelines at its eighth session, taking into account the views submitted by Parties and the least developed countries expert group established under decision 29/CP.7;
4. *Invites* least developed country Parties to use the above-mentioned guidelines, in accordance with their national circumstances, in preparing their national adaptation programmes of action.

Guidelines for the preparation of national adaptation programmes of action

A. Introduction

1. National adaptation programmes of action (NAPAs) will communicate priority activities¹ addressing the urgent and immediate needs and concerns of the least developed countries (LDCs), relating to adaptation to the adverse effects of climate change.
2. The rationale for developing NAPAs rests on the low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change. Activities proposed through NAPAs would be those whose further delay could increase vulnerability, or lead to increased costs at a later stage.
3. The NAPA will be presented in the form of a document specifying a list of priority activities, with a concise justification based on a tight set of criteria.
4. The NAPA document will not be an end in itself, but rather a means for the dissemination, by an LDC Party, of its proposed programme of action to address its urgent needs for adaptation. The priority activities identified through the NAPA process will be made available to the entity that will operate the LDC fund referred to in decision 7/CP.7, paragraph 6, and other sources of funding, for the provision of financial resources to implement these activities.

B. Objective of NAPAs

5. National adaptation programmes of action will serve as simplified and direct channels of communication for information relating to the urgent and immediate adaptation needs of the LDCs.

C. Characteristics of NAPAs

6. National adaptation programmes of action should:
 - (a) Be easy to understand;
 - (b) Be action-oriented and country-driven;

¹ For the purposes of this annex, activities should include, *inter alia*, projects, integration into other activities, capacity building and policy reform

(c) Set clear priorities for urgent and immediate adaptation activities as identified by the countries.

D. Guiding elements

7. The preparation of NAPAs will be guided by the following:
 - (a) A participatory process involving stakeholders, particularly local communities;
 - (b) A multidisciplinary approach;
 - (c) A complementary approach, building upon existing plans and programmes, including national action plans under the United Nations Convention to Combat Desertification, national biodiversity strategies and action plans under the Convention on Biological Diversity, and national sectoral policies;
 - (d) Sustainable development;
 - (e) Gender equality;
 - (f) A country-driven approach;
 - (g) Sound environmental management;
 - (h) Cost-effectiveness;
 - (i) Simplicity;
 - (j) Flexibility of procedures based on individual country circumstances.

E. Process

8. The preparation of the NAPA may proceed as follows:
 - (a) The setting up of a national NAPA team: the national climate change focal point will set up a NAPA team composed of a lead agency and representatives of stakeholders including government agencies and civil society. This group would be constituted using an open and flexible process that will be inclusive and transparent. The NAPA team will be responsible for preparing the NAPA and coordinating the implementation of NAPA activities;
 - (b) The NAPA team will assemble a multidisciplinary team:

- (i) To synthesize available information on adverse effects of climate change and coping strategies, which would be collated and reviewed, including the national strategies for sustainable development, the Programme of Action for the Least Developed Countries, the United Nations development assistance frameworks, and poverty reduction strategy papers, if available in the countries;
 - (ii) To conduct a participatory assessment of vulnerability to current climate variability and extreme weather events, and to assess where climate change is causing increases in associated risks;
 - (iii) To identify key climate-change adaptation measures, based, to the extent possible, on vulnerability and adaptation assessment; such measures would also be responsive to needs identified under other relevant processes, such as the preparation of national action plans under the United Nations Convention to Combat Desertification and national biodiversity strategies and action plans under the Convention on Biological Diversity;
 - (iv) To identify and prioritize country-driven criteria for selecting priority activities to address needs arising from the adverse effects of climate change, drawing on the criteria referred to in section F.4 below.
- (c) Development of proposals for priority activities to address needs arising from the adverse effects of climate change: the national team will:
- (i) Organize a national and/or subnational consultative process to solicit inputs and proposal ideas in order to help develop a short list of potential NAPA activities. The national team would facilitate this consultative process, and would help in translating ideas into activities. This process will allow adequate dialogue between the national team and the public, with time allowed for public comment and revisions;
 - (ii) Identify potential activities, which may include capacity building and policy reform, and which may be integrated into sectoral and other policies;
 - (iii) Select and identify priority activities, based on the agreed criteria;
 - (iv) Propose profiles of priority activities using the following format:
 - Title
 - Rationale/justification in relation to climate change, including sectors concerned

- Description
 - Objectives and activities
 - Inputs
 - Short-term outputs
 - Potential long-term outcomes
- Implementation
 - Institutional arrangement
 - Risks and barriers
 - Evaluation and monitoring
 - Financial resources

(d) The development of the NAPA document: the document will be prepared following the structure set out in section F below;

(e) Public review and revision: the NAPA document will undergo public review and be revised accordingly;

(f) The final review process: the NAPA document, including the profiles, will be reviewed by a team of government and civil society representatives, including the private sector, who may take into consideration any advice solicited from the Least Developed Countries Expert Group;

(g) National government endorsement of the NAPA: after the NAPA has been prepared, it will be submitted to the national government for endorsement.

(h) Public dissemination: the endorsed NAPA document will be made available to the public and to the UNFCCC secretariat.

F. Structure of NAPA document

1. Introduction and setting

9. This introductory section will include background information about the country that is relevant to the NAPA process. It will cover current characteristics, key environmental stresses, and how climate change and climate variability adversely affect biophysical processes and key sectors.

2. Framework for adaptation programme

10. This section will also provide an overview of climate variability and observed and projected climate change and associated actual and potential adverse effects of climate change. This overview will

be based on existing and ongoing studies and research, and/or empirical and historical information as well as traditional knowledge.

11. This section will describe the NAPA framework and its relationship to the country's development goals, as described in subparagraph 8(b)(i) above, to make the framework consistent with socio-economic and development needs. In addition, it would also describe the goals, objectives and strategies of the NAPA, taking into account other plans and multilateral environmental agreements.

12. Where possible, a description of the potential barriers to implementation should also be included.

3. Identification of key adaptation needs

13. Based on this overview and framework, past and current practices for adaptation to climate change and climate variability will be identified as related to existing information regarding the country's vulnerability to the adverse effects of climate change, climate variability and extreme weather events, as well as long-term climate change. This section will explain how and to what extent activities may address specific vulnerabilities.

14. Given the actual and potential adverse effects of climate change described in section F.2 above, this section will identify relevant adaptation options including capacity building, policy reform, integration into sectoral policies and project-level activities.

4. Criteria for selecting priority activities

15. A set of locally-driven criteria will be used to select priority adaptation activities. These criteria should include, *inter alia*:

- (a) Level or degree of adverse effects of climate change;
- (b) Poverty reduction to enhance adaptive capacity;
- (c) Synergy with other multilateral environmental agreements;
- (d) Cost-effectiveness.

16. These criteria for prioritization will be applied to, *inter alia*:

- (a) Loss of life and livelihood;
- (b) Human health;

- (c) Food security and agriculture;
- (d) Water availability, quality and accessibility;
- (e) Essential infrastructure;
- (f) Cultural heritage;
- (g) Biological diversity;
- (h) Land-use management and forestry;
- (i) Other environmental amenities;
- (j) Coastal zones, and associated loss of land.

5. List of priority activities

17. This section will list priority climate-change adaptation activities that have been selected based on the criteria listed in section F.4 above.

18. For each of the selected priority activities a set of profiles will be developed for inclusion in the NAPA document. This could follow the format set out in subparagraph 8(c)(iv) above.

6. NAPA preparation process

19. This section will describe the NAPA development process, including the process of consultation, the methods for evaluation and monitoring, the institutional arrangements, and the mechanism of endorsement by the national government.