

Module 4: The NAP process

4.1. Introducing the NAP process

LEG training workshops for 2012-2013
Asian LDCs workshop
20-24 August 2013, Siem Reap, Cambodia



In this module

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Module 2: Implementation strategies under the NAPAs

Module 3: Accessing financial resources for implementation of NAPA

Module 4: The NAP process

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4.2. Establishing long-term NAP process

4.3. Stocktaking and synthesis

4.4. Analysis of capacity needs & gaps and possible strategies to address them

4.5. Data analysis, management and visualization

4.6. Potential support for the NAP process

Module 5: Addressing adaptation in the context of sustainable development

Module 6: Tracking progress, monitoring and evaluation

Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- Understanding the NAP process
- Understanding how to use the “Technical guidelines for the NAP process”

Guiding questions:

- How to initiate and carry out a NAP process?



Background



Relevant decisions by the COP

COP 13 (2007) – Decision 1/CP.13

- Considerations on enhanced action on adaptation, under the Ad hoc working group on long-term cooperation under the UNFCCC

COP 16 (2010) – Decision 1/CP.16

- Establishment under the Cancun Adaptation Framework, as a process to enable LDCs to formulate and implement national adaptation plans (NAPs), building on NAPAs, as a means for:
 - a) Identifying medium- and long-term adaptation needs, and their integration into development planning;
 - b) Developing and implementing strategies and programmes to address those needs;
- COP requested SBI to consider the elements, modalities and guidelines for the LDCs;
- Other developing country Parties to employ the modalities formulated to support the NAPs in the elaboration of their planning efforts.



Relevant decisions by the COP

COP 17 (2011) – Decision 5/CP.17

- Initial guidelines for the formulation of national adaptation plans and modalities adopted
- LEG mandated to provide support and guidance to the LDCs
- LEG mandated to develop technical guidelines for the NAP process

COP 18 (2012) – Decision 12/CP.18

- Guidance to the GEF/LDCF for support the formulation of NAPs adopted



Objectives of the NAP process

The objectives of the NAP process are:

- a) To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience;
- a) 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.

Ref: Decision 5/CP.17, paragraph 1



Guiding principles of the NAP process

- Continuous 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
- In accordance with Convention
- Enhancing coherence of adaptation and development
- Supported by comprehensive monitoring and review
- Considering vulnerable groups, communities and ecosystems
- Guided by best available science
- Taking traditional and indigenous knowledge into consideration
- Gender-sensitive



Opportunities offered by the NAP process

Advance from NAPA experiences into comprehensive, longer-term planning for adaptation

Consolidate overall adaptation activities and embark on a coherent and strategic adaptation approach

Ensure continuity and learning in planning and implementing adaptation, and to communicate progress through iterative outputs

Integrate adaptation into existing planning systems and prioritize activities so as to prevent negative climate impacts on development

Identify the level of climate risk which can be addressed given economic, social and ecological constraints

Encourage provision of adequate and predictable support which takes into account comprehensive, continuous and iterative nature of the NAP process

Create confidence in agencies to support a country-owned, country-driven process that requires action beyond the implementation of projects

Contribute to learning about how to manage multiple stress factors that combine in complex ways across scales

Promote streamlining of adaptation approaches under the Convention



LEG support to the NAP process – progress so far

1

The LEG has produced the **technical guidelines** for the NAP process; they are being disseminated in English, French and Portuguese

2

The LEG identified **ways it could further support the LDCs over the next 2 years to undertake the NAP process** based on inputs and feedback from LDC Parties

3

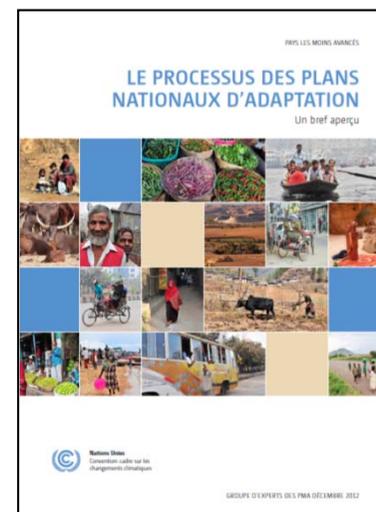
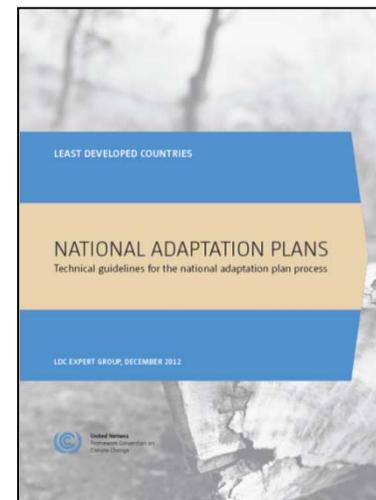
The LEG found out that **LDCs are ready to embark on the NAP process**, and that addressing the support needs identified, will be part of the national activities of the NAP process

4

As part of its ongoing work in providing technical support to LDCs, the LEG has started to **incorporate training on NAPs in the ongoing training workshops**

5

The LEG has organized the event **NAP Expo: Launching of the NAP process in LDCs**, in June 2013 during the SB sessions



The NAP technical guidelines



Introduction to the NAP technical guidelines

The technical guidelines

- Are based on the initial guidelines contained in the annex to decision 5/CP.17
- Are not prescriptive – countries will scope what exists and what needs to be done, in creating **workstreams** for their work at the national and subsequent levels
- Showcase examples, case studies and recommend key references – these will be updated regularly through an online version
- Provide for countries to build on existing activities and to “enter” the NAP process at appropriate points
- Include indicative activities of which many will be done in parallel, without suggesting a mandatory sequence
- Encourage the enhancement of capacity in countries to address adaptation on a long-term basis and in a sustainable manner



NAP process

A. Laying the groundwork and addressing gaps

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

D. Reporting, Monitoring and Review

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

B. Preparatory Elements

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

C. Implementation Strategy

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

Key questions for each step (example element A)



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

Key questions

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



Indicative activities for each step (example element A)

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



How to use the guidelines

Creating workstreams

- cluster activities and steps into workstreams (or work flows)
- Workstreams could be put together for clusters of work e.g. on:
 - a) Monitoring and evaluation
 - b) Integrating climate change adaptation into national planning
 - c) Vulnerability and adaptation assessment
 - d) Education, training, communication, and awareness-raising
- See Chapter 8 of the technical guidelines for examples that show selected activities for sample workstreams



Examples of key stakeholders to drive the NAP process

At the higher level:

- The Cabinet/Senate/Parliament
- National Climate Change Committee/Interagency Task Force/or similar

At the operational level:

- The National Climate Change Focal Point and supporting institution
- Technical committees (multi-sectoral, national-level, etc)

For each sector:

- Relevant departments and ministries
- Technical Committees as necessary

At the broader level:

- The public, civil society and the private sector



Introduction to the four
elements of the NAP
process



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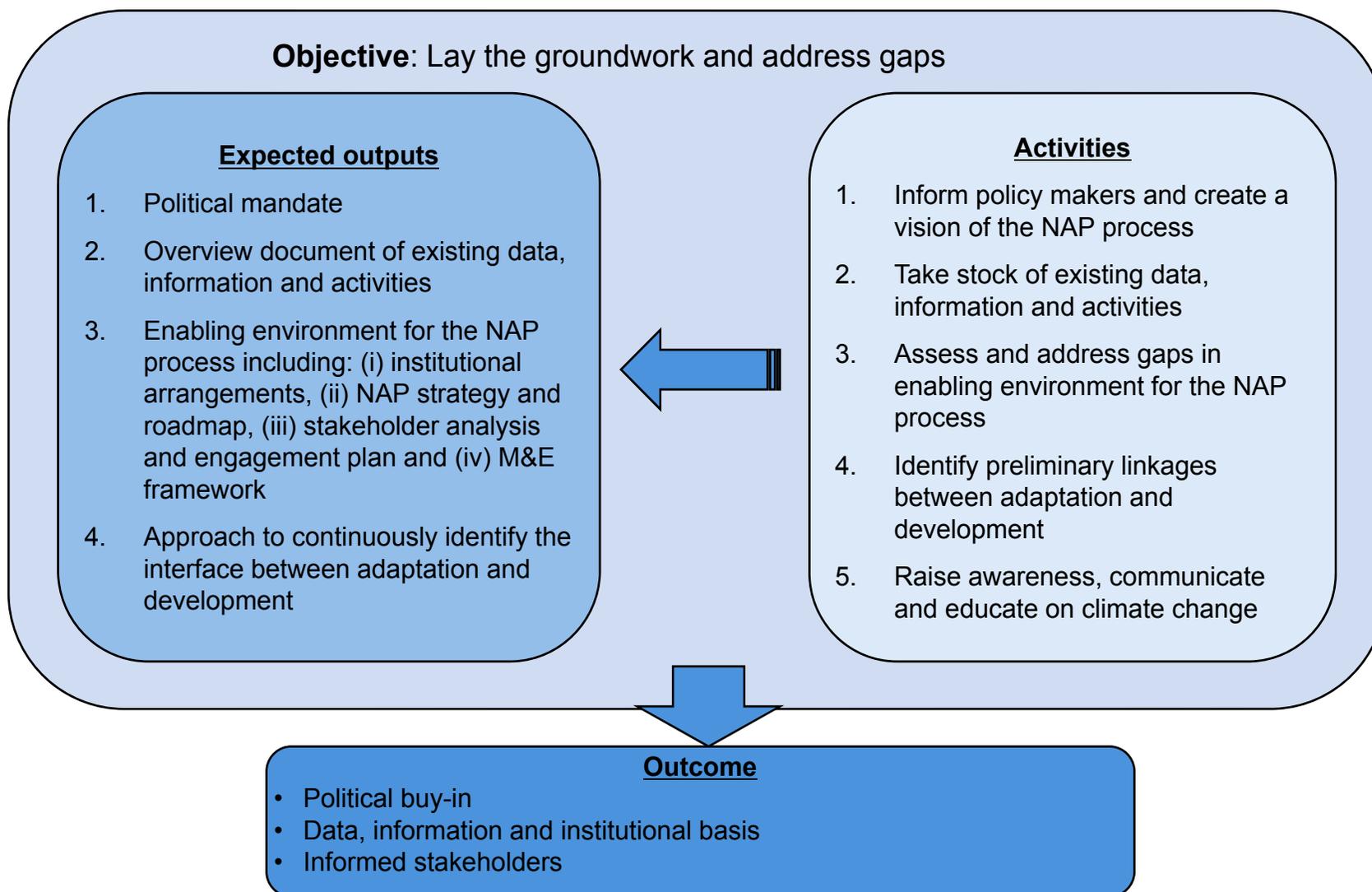
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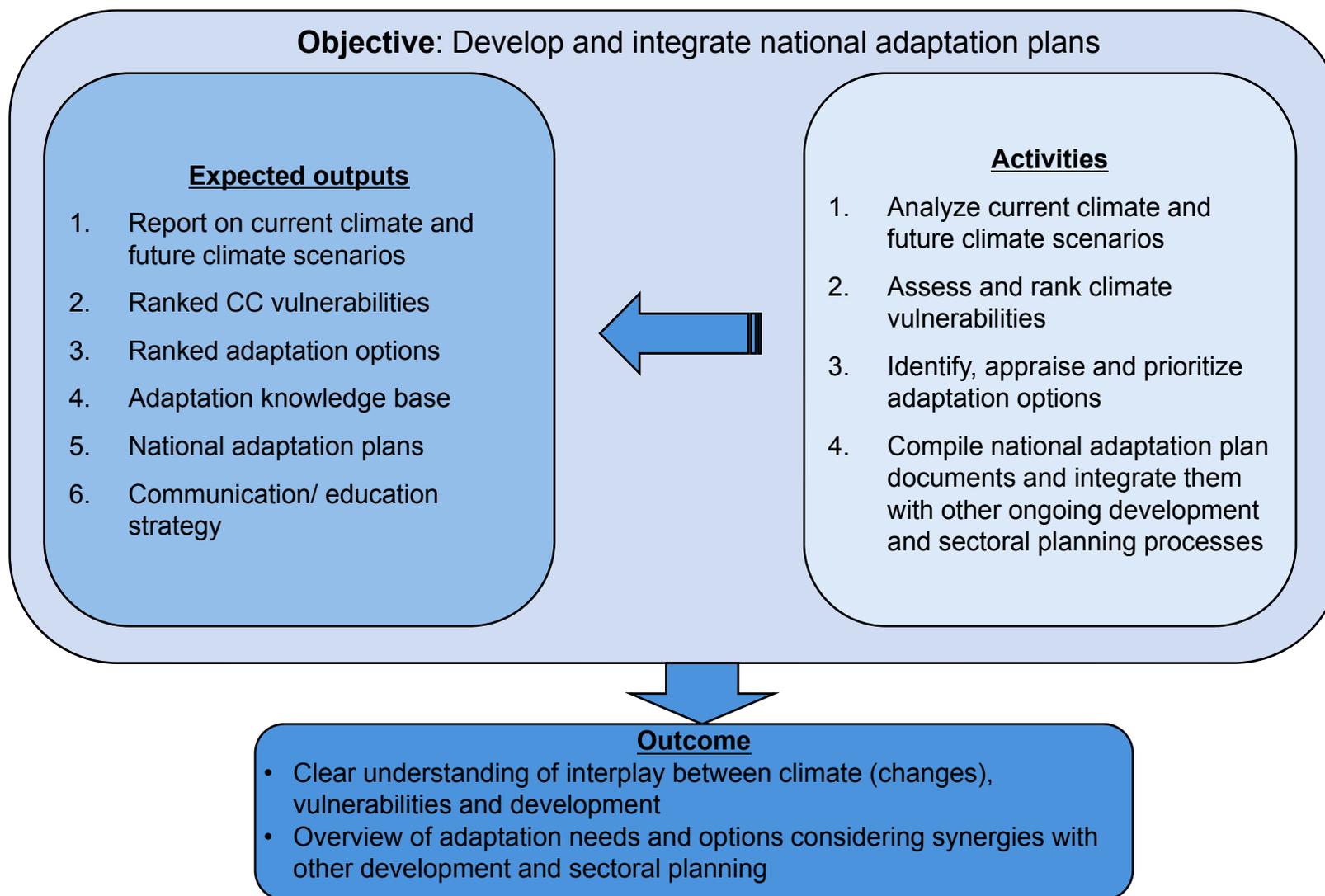
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Element A: Lay the groundwork and address gaps



Sub-modules 4.2-4.5 cover more details on Element A

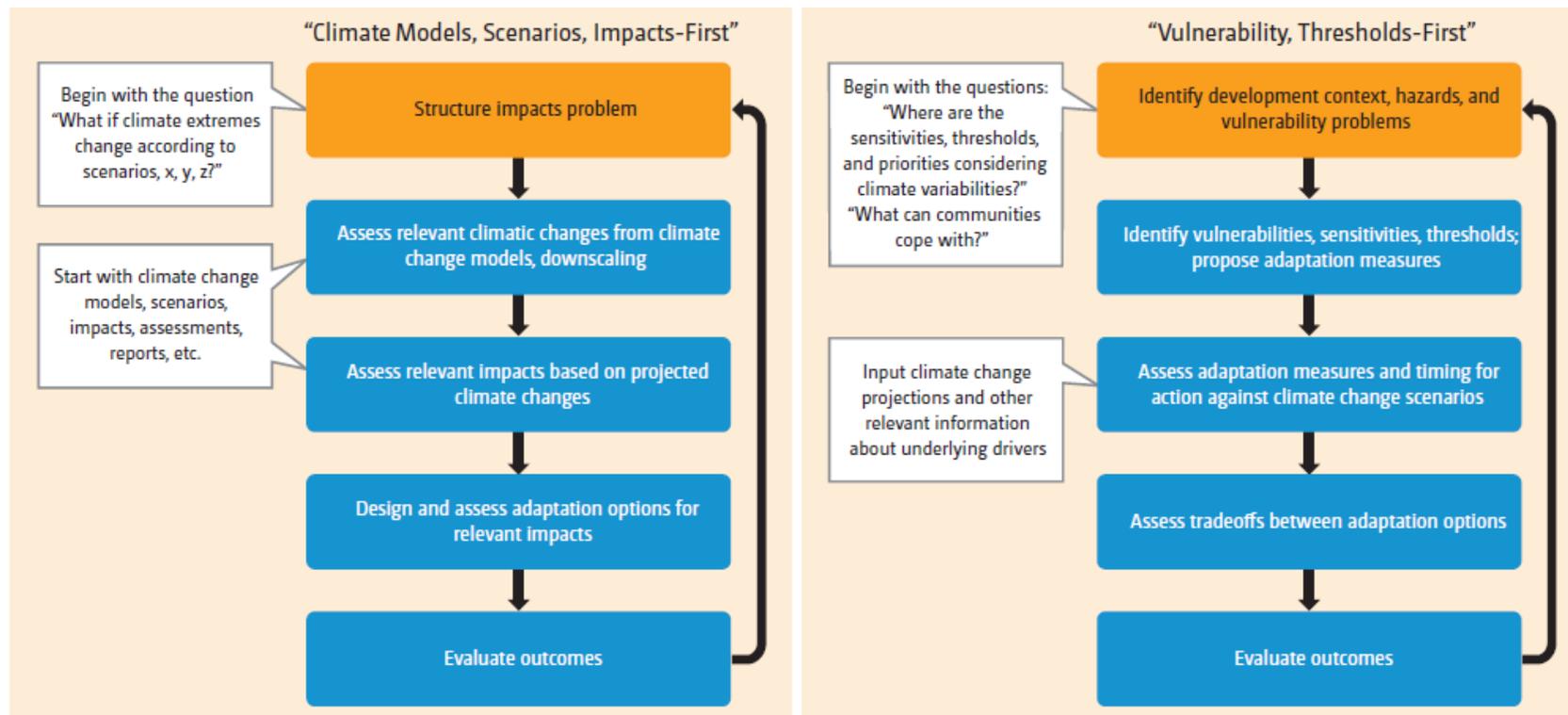
Element B: Preparatory elements



Element B: Preparatory elements

Vulnerability & risk assessment

Chose the approach for the assessment, e.g. impacts first or vulnerability first:¹



¹Source: Lal PN et al. National systems for managing the risks from climate extremes and disasters. In: IPCC Special Report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. 2012.

Element B: Preparatory elements

Methods for assessing vulnerability to climate change

A country will likely apply several vulnerability assessment approaches, including:

- *Hazards approach* – where hazards are closely linked to disaster risk management
- *Risk management approach* – taking into account measures to reduce risk
- *Vulnerability approach* - emphasis on interactions between climate and society
- *Resilience approach* – readjustment and flexibility in response to changing conditions
- *Ecosystem-based approaches for adaptation* - focus on adaptation activities that rely on goods and services provided by ecosystems
- *Expert-based approach* - focus on the ranking and prioritization of adaptation options through a qualitative assessment



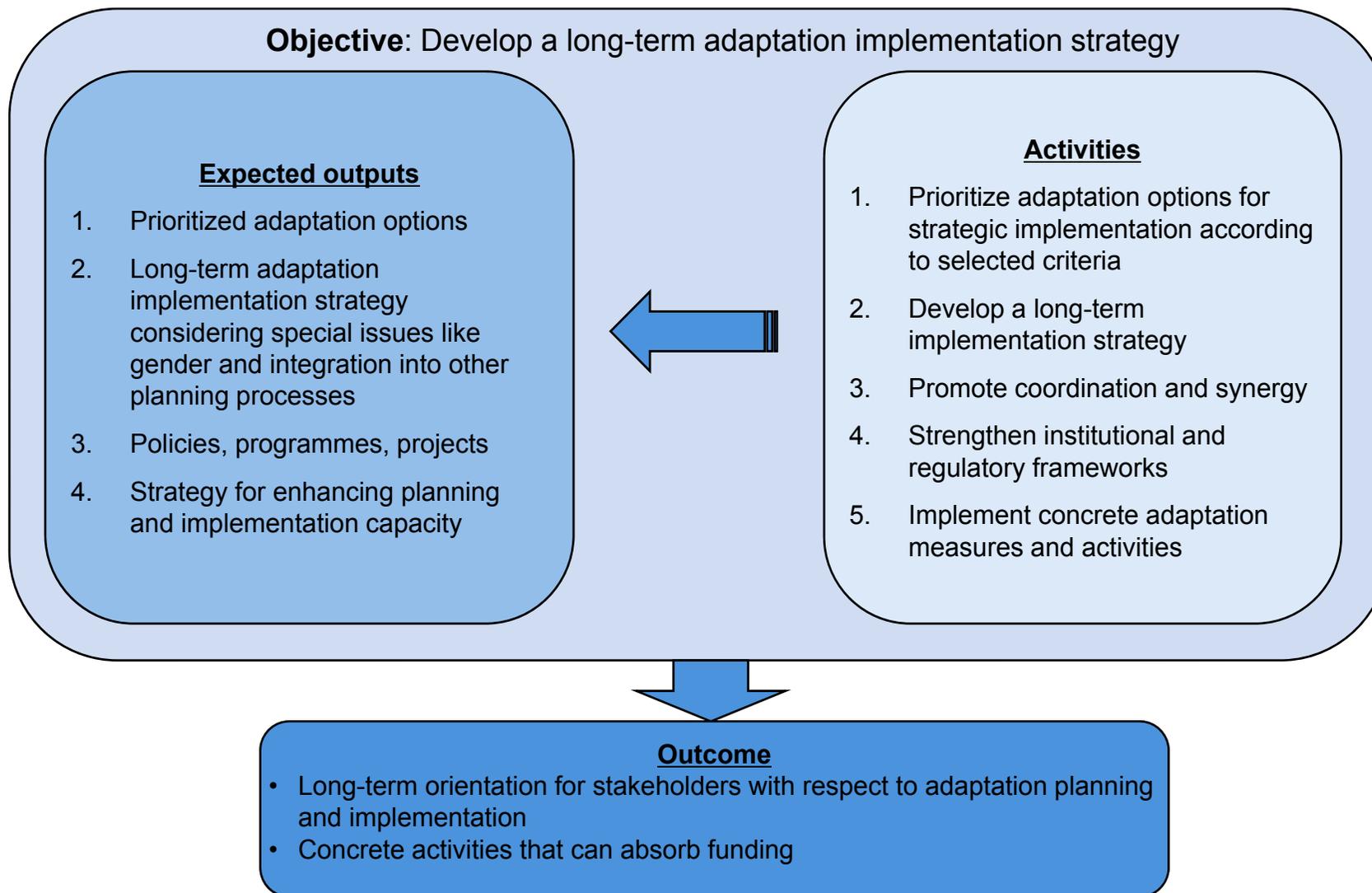
Ranking climate risks

Common criteria for ranking climate risks include:

- Nature of impacts (loss of life, diseases, constraints to economic development, etc.)
- Order of magnitude of the potential climate change impact
- Probability, likelihood and level of confidence
- Reversibility
- Urgency of action
- Policy relevance
- Connectivity or cross-cutting risks across sectors or regions
- Importance of systems at risk on national development
- Biophysical sensitivity to the effects of climate change



Element C: Implementation strategies



Element C: Implementation strategies

Elements of an implementation plan/strategy

Adaptation activities	<ul style="list-style-type: none">• To address key vulnerabilities and risks
Prioritization	<ul style="list-style-type: none">• Of adaptation activities at the national level• Overarching strategy for prioritizing vulnerable communities
Approach for implementation	<ul style="list-style-type: none">• Project-by-project basis• Sector-wide or programmatic approach• Resilience, climate proofing, ecosystem based, etc.
Support	<ul style="list-style-type: none">• Funding, technology, capacity-building• Sources of funding• Options for mobilization of support
Overall coordination	<ul style="list-style-type: none">• For the implementation of the plan
Synergies	<ul style="list-style-type: none">• With other national plans• At the regional level• With other MEAs
Timing and sequencing of activities	<ul style="list-style-type: none">• Taking into account available resources, ongoing and planned adaptation, relevant development initiatives
Plus, for each activity	<ul style="list-style-type: none">• Objectives, outputs, expected outcomes• Target areas or beneficiaries• Resources required for implementation• Responsible organization(s) and/or agency(ies)



Element C: Implementation strategies

Implementing concrete adaptation measures

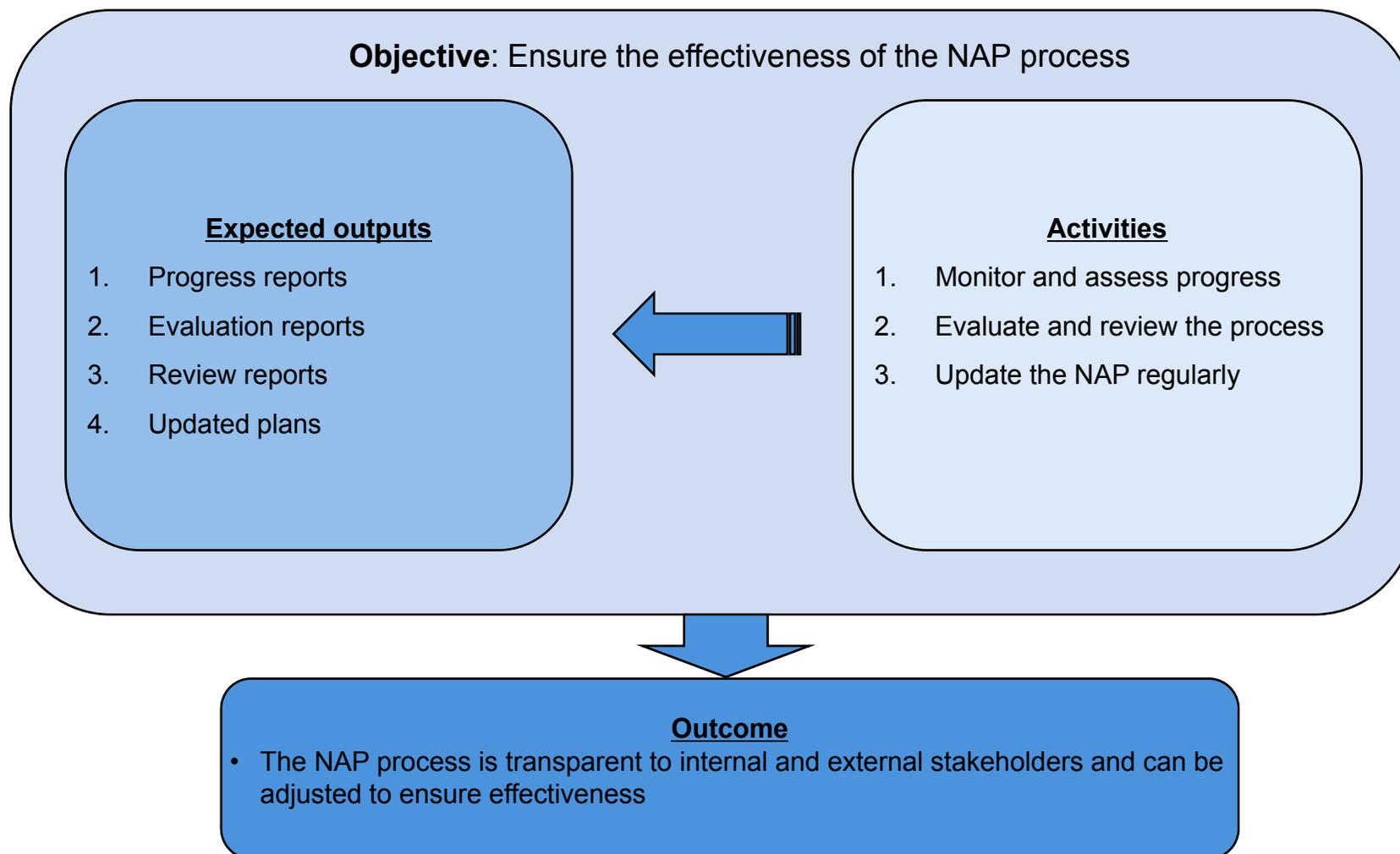
An important component of the NAP process is addressing adaptation through various **policies, projects and programmes** depending on the challenges, needs and gaps. Such policies, projects and programmes will vary in form and character across scales, and will depend on prevailing circumstances.

Development goals:

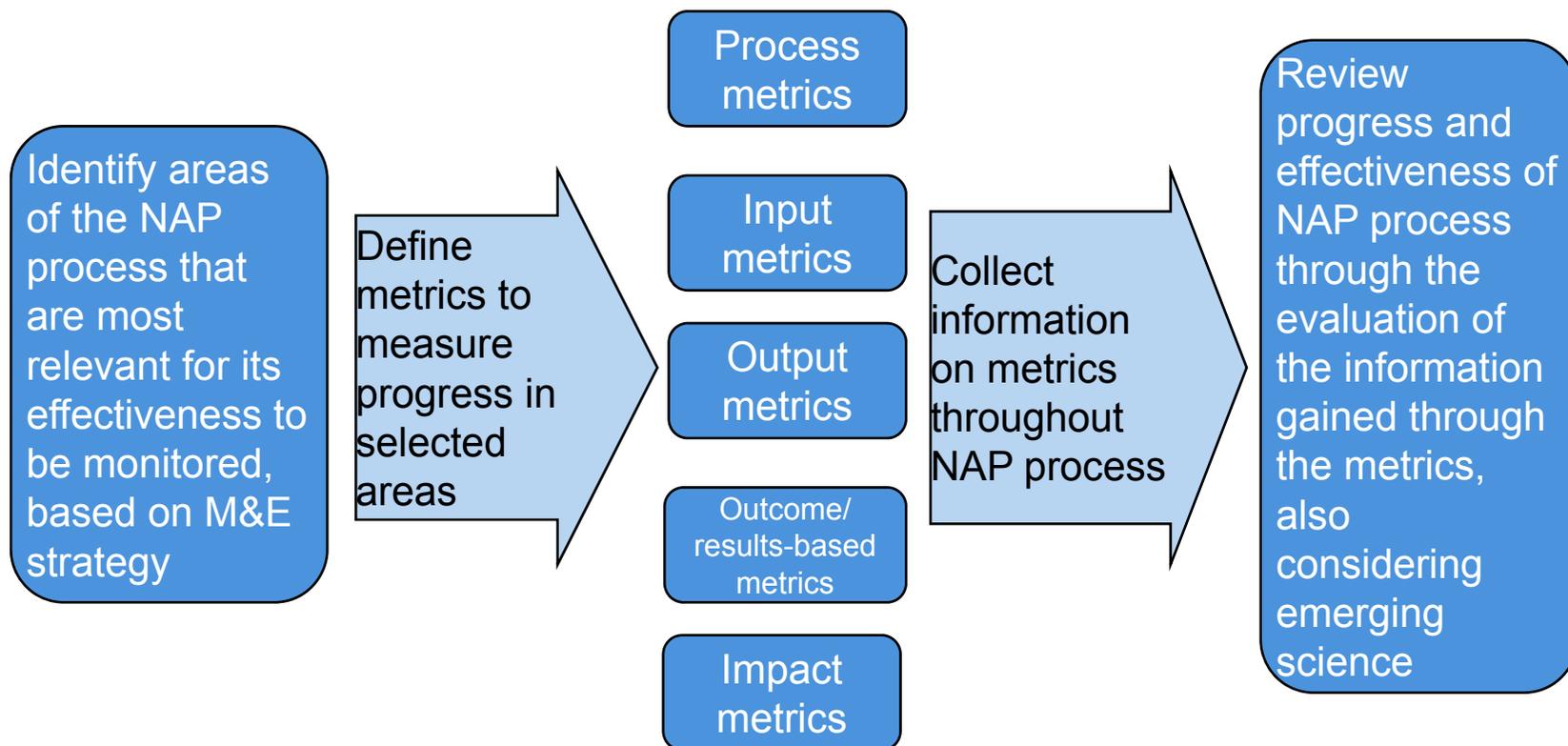
- ✓ Attainment and safeguarding of food security;
- ✓ Attainment and safeguarding of water security and sanitation;
- ✓ Protection of life and property;
- ✓ Protection and enhancement of ecosystems;
- ✓ Support and enhancement of human health and safety;
- ✓ Climate proofing major components of the economy;
- ✓ Protection and preservation of cultural values and systems.



Element D: Reporting, monitoring and review



Element D: Reporting, monitoring and review



What does it mean to have embarked on the NAP process?

- Declaring a coordinating or spearheading mechanism
- Scoping of required activities to **drive the NAP process** (mandates, institutions, relevant stakeholders, resources), recognizing **ongoing NAP-relevant activities**
- Clustering the NAP process into **workstreams**
- Arrangements for **support**
- Compilation and communication of a **roadmap** or strategy, including milestones, for the initial phase of the national process

A country could communicate the initiation of its NAP process and provide contact details for partners that are interested in supporting the process



Resources

- The NAP Central – a common information system for the NAP process available at <http://unfccc.int/NAP>

The screenshot displays the NAP Central website interface. At the top left is the UNFCCC logo and the text "NAP Central". To the right is a search bar with a magnifying glass icon and a "Browse the database" button with a right-pointing arrow. Below this is a navigation menu with dropdown arrows for: Adaptation Overview, Guidelines, Hazards, Sectors, Countries, Tools, Support, Portals, and Links.

The main content area is divided into several sections:

- Guidelines:** A circular diagram with four nodes labeled A, B, C, and D, connected by arrows in a clockwise cycle.
- Country Information:** A map of Africa with various countries labeled, including Senegal, Gambia, Guinea-Bissau, Guinea, Sierra Leone, Liberia, Burkina Faso, Togo, Benin, Nigeria, Mali, Mauritania, Mauritius, Madagascar, Mozambique, Angola, Namibia, Botswana, Zimbabwe, Lesotho, Swaziland, South Africa, Eritrea, Djibouti, Central African Rep., Somalia, Uganda, United Rep. of Tanzania, Rwanda, Burundi, and Malawi.
- Case Studies:** A central image of a palm tree with a dark overlay containing the text: "The technical guidelines for the NAP process. The technical guidelines for the NAP process are designed to support countries in their planning and implementation of adaptation at the national level." To the right of the image is a "Case Studies" icon with a globe and three dots.
- Global Support Programme:** An icon showing a globe with arrows pointing to it from several human figures.
- Hazards:** Three images representing "Drought/aridity", "Floods", and "Storms".
- Sectors:** Three images representing "Agriculture & Food Security", "Water Resources", and "Coastal Zones".
- Data, Method and Tools:** A map icon with the text "Data, Methods and Tools" and a list: "+ Data", "+ Methods", "+ Tools".
- Portals:** A list of links: "+ Country adaptation priorities", "+ Adaptation projects database", "+ Best practices and lessons learned", "+ Data and tool archive", "+ NAP Outputs", "+ Synthesis of available science", "+ NAP Exchange".

At the bottom left of the slide is the UNFCCC logo.

Module 4: The NAP process

4.2 Establishing a long-term NAP process at the national level (mandate, framework/strategy)

LEG training workshops for 2012-2013
Asian LDCs workshop
20-24 August 2013, Siem Reap, Cambodia



A. In this module

Where are we?

Module 1: Setting the stage

Module 2: Implementation strategies under the NAPAs

Module 3: Accessing financial resources for implementation of NAPA

Module 4: The NAP process

4.1. Introducing the NAP process

4.2. **Establishing long-term NAP process**

4.3. Stocktaking and synthesis

4.4. Analysis of capacity needs & gaps and possible strategies to address them

4.5. Data analysis, management and visualization

4.6. Potential support for the NAP process

Module 5: Addressing adaptation in the context of sustainable development

Module 6: Tracking progress, monitoring and evaluation

Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- Defining/understanding the national vision to drive the NAP process
- Identifying entry points and workstreams for the NAP process

Guiding questions:

- What is the overall national approach and strategy for the NAP process and what kind of mandate is needed to drive it?



B. Defining national vision for the NAP process

A national vision would embody the NAP process as a system for planning and implementing adaptation, including through policies, projects and programmes

Could be driven by an act of parliament or similar measure, such as:

a national directive, an executive order signed by the Head of Government, a national policy

The vision would then be realized through:

- a national strategy,
- roadmap or plan for the NAP process



C. Establishing or strengthening national mandate, framework & strategy

Defining the national mandate

- An **act, directive, executive order, or policy** issued by the national government to guide action on adaptation;
- Establishes clear **responsibilities** for government agencies (*lead agency, coordination, reporting, etc.*) and all other stakeholders;
- Specifies key **actions, milestones** and **outputs** (e.g. assessments, plans, implementation, M&E), *frequency*, and *follow-up actions*.

Some important considerations

- Creating a national mandate could take a long time, thus other activities may be initiated to lay the groundwork in parallel;
- Other countries may already have policies on climate change or adaptation that could effectively drive the NAP process, in which case no new mandate is needed.

NB: The Government needs to provide national leadership and coordination of adaptation efforts at all levels and act as the main interface with national, regional and international mechanisms in support of adaptation



D Institutional arrangements to coordinate, lead & monitor the NAP process

The national climate change ministry, department or agency would serve as the natural “home” for the NAP process, and ensure government leadership and coordination of the NAP process

Cambodia example:

- a) Inter-Ministerial National Climate Change Committee (NCCC) established in April 2006: to prepare, coordinate and monitor the implementation of policies, strategies, legal instruments, plans and programmes to address climate change issues;
- b) Climate Change Technical Team also established with a representative from 20 line Ministries;
- c) Climate Change Department established in 2009 to support the work of the NCCC.



E. Process for consultation and reporting to stakeholders

- The NAP process should ensure engagement of stakeholders
- Stakeholders will play different roles, and the right stakeholders should always be involved at the right moment
- The process would build on and use existing systems for stakeholder involvement
- Engagement of women and vulnerable groups may require innovative approaches



Stakeholder categories:

Government agencies & ministries

Communities

Private sector

Local municipalities

NGOs, faith-based organisations etc.

Gender and other groups



F. Identifying entry point(s) for the NAP process

A country may find it useful to scope work towards setting up a NAP process.

This can be done by **going through a list of the steps and indicative activities** to identify what activities are needed, based on activities already undertaken.

By doing this, the country would identify “**entry points**”, as places to start and build on existing efforts (see later for more discussion of this)

Key resource for this task would be the NAP Poster

NATIONAL ADAPTATION PLANS TABLE OF STEPS, BUILDING BLOCKS AND SAMPLE OUTPUTS UNDER EACH OF THE FOUR ELEMENTS OF THE NAP PROCESS

Steps	Checklist of building blocks	Sample NAP outputs
Element A. Lay the groundwork and address gaps		
1. Initiating and launching the NAP process	<ul style="list-style-type: none"> Identify on NAP process Identifying mechanisms Identify roles and responsibilities for NAP Access to technical and financial support NAP framework, strategy and road map 	<ul style="list-style-type: none"> Mandate for the NAP process Framework and strategy for climate change adaptation Funded project to support operations of the NAP process Role map for the NAP process
2. Stocktaking: Identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the existing environment for the NAP process	<ul style="list-style-type: none"> Identifying of adaptation activities Systems to monitor knowledge on impacts, vulnerability and adaptation Quality gap analysis Human capacity 	<ul style="list-style-type: none"> Report on synthesis of available information Conceptual framework of support of the NAP process Knowledge base of observed climate impacts, vulnerabilities and potential opportunities Gap and needs analysis report Human capacity report
3. Addressing capacity gaps and weaknesses in conducting the NAP process	<ul style="list-style-type: none"> Building individual and technical capacity Programmes for integrating adaptation into development Programmes on climate change communication, public awareness raising and education 	<ul style="list-style-type: none"> Strategy documents for capacity building Activities raising, formalisation and education NAP website
4. Comprehensive and inclusive assessing development needs and climate vulnerability	<ul style="list-style-type: none"> Develop development objectives, policies, plans and programmes Identify barriers, development and adaptation objectives, policies, plans and programmes 	<ul style="list-style-type: none"> Report on identification of development/adaptation activities Report on approaches for ensuring synergy between development and adaptation
Element B. Preparatory elements		
1. Analyzing current climate and future climate change scenarios	<ul style="list-style-type: none"> Analysis of current climate Climate change risks and uncertainty/Scenario analysis Communicating projected climate change information 	<ul style="list-style-type: none"> Report on climate analysis Report on climate risks/projected climate change Change in climate information services
2. Assessing climate vulnerability and identifying adaptable options at sector, subsector, cultural and other appropriate levels	<ul style="list-style-type: none"> Climate vulnerability assessment at multiple levels Identify climate change risks and vulnerabilities Identify adaptation options 	<ul style="list-style-type: none"> Vulnerability and adaptation assessment report
3. Identifying and appraising adaptation options	<ul style="list-style-type: none"> Appraisal of adaptation options 	<ul style="list-style-type: none"> Report on appraisal of adaptation options National and subnational plans on adaptation
4. Compiling and communicating national adaptation plans	<ul style="list-style-type: none"> Draft national adaptation plans Finalise NAPs and process endorsement Communicate NAPs at national level 	<ul style="list-style-type: none"> Draft NAPs for review Finalised NAPs
5. Integrating climate change adaptation into national and local-level development and sectoral planning	<ul style="list-style-type: none"> Integration and coordination for integrating climate change into planning Building capacity for integration Integration of adaptation into existing planning processes 	<ul style="list-style-type: none"> Report on integration of adaptation into development
Element C. Implementation strategies		
1. Prioritising climate change adaptation in national planning	<ul style="list-style-type: none"> National criteria for prioritising implementation adaptation activities Identify opportunities for building on existing 	<ul style="list-style-type: none"> Report on prioritisation of adaptation in national development
2. Developing a long-term national adaptation implementation strategy	<ul style="list-style-type: none"> Integrating the adaptation implementation Implementation of NAPs through policies, projects and programmes 	<ul style="list-style-type: none"> Implementation strategy for the NAPs
3. Enhancing capacity for planning and implementing adaptation	<ul style="list-style-type: none"> Strengthening long-term institutional and regulatory frameworks Building at sectoral and subnational levels Enhance on national vulnerability & promotion of international cooperation 	<ul style="list-style-type: none"> National training and outreach programme(s)
4. Promoting coordination and synergy at the regional level and with other multilateral environmental agreements	<ul style="list-style-type: none"> Coordination of adaptation planning across sectors Strongly at the regional level Working with multilateral environmental agreements 	<ul style="list-style-type: none"> Report on regional synergy Report on synergy with MEAs
Element D. Reporting, monitoring and review		
1. Monitoring the NAP process	<ul style="list-style-type: none"> Identify focal areas of the NAP process to monitor progress, effectiveness and gaps (PEG) Define metrics for monitoring PEG Collect information throughout the NAP process to apply the metrics identified 	<ul style="list-style-type: none"> Metrics report/Monitoring Plan Database of metrics
2. Reviewing the NAP process to assess progress, effectiveness and gaps	<ul style="list-style-type: none"> Synthesis of new assessments & emerging science and the results and outcomes from implemented adaptation activities Validate metrics collected for assess progress, effectiveness and gaps of the NAP process 	<ul style="list-style-type: none"> Evaluation report
3. Iteratively updating the national adaptation plans	<ul style="list-style-type: none"> Develop some steps and update NAPs and related documents Revised NAPs to the NAP update aligned with relevant national development plans 	<ul style="list-style-type: none"> Updated NAPs
4. Outreach on the NAP process and reporting on progress and effectiveness	<ul style="list-style-type: none"> Disseminate the NAPs and related outputs to the UNFCCC, world and other forums Provide information in national communications on progress and effectiveness of the NAP process 	<ul style="list-style-type: none"> Progress report and information in national communications

See also: United Nations World Water Development Report 2015, National Adaptation Plan, National Adaptation Plan, National Adaptation Plan, National Adaptation Plan



https://unfccc.int/files/adaptation/application/pdf/nap_poster.pdf



G. Identifying possible workstreams for the national process

- Activities for the NAP process could be clustered into “workstreams”
- Scoping exercise could help to develop the workstreams e.g. by using the “NAP Poster”
- Stocktaking exercise and gap and needs assessment, would be early activities in the NAP process, and would help inform specific steps and activities to be undertaken
- Each workstream could be managed under the responsibility of a particular stakeholder/ committee/ technical institute as appropriate
- The coordinating mechanism of the NAP process would manage relationships and flow of information between workstreams

Workstreams could be put together for clusters of work such as on the following:

- Monitoring and evaluation
- Integrating climate change adaptation into national planning
- Vulnerability and adaptation assessment
- Education, training, communication, and awareness-raising

Chapter 8 of the technical guidelines shows examples of selected activities for sample workstreams



H. Financial and technical support arrangements

- The NAP process will require adequate and continuous financial and technical support (formulation, implementation of adaptation measures, and addressing gaps in capacity)
- An implementation plan/strategy that addresses options for financial and technical support would be an integral part of the success of the NAP process
- Countries need to be fully conversant and aware of the international support available for the NAP process
- Countries may need to mobilize a diversity of partners to solicit their support for the NAP process
- A variety of sources of support include:
 - a) the Convention financial mechanism (GEF, AF, GCF)
 - b) Bilateral and multilateral support
 - c) GEF/LDCF (GEF council June 2013)



Module 4: The NAP process

4.3 Stocktaking and synthesis of available information on impacts, vulnerability and adaptation

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Module 6: Tracking progress, monitoring and evaluation

Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- Element A of the NAP Process: laying the groundwork and addressing gaps
- The benefits of conducting a stocktaking exercise
- Approaches to take stock of climate analysis and current and past activities

Guiding questions:

- What type of information should stocktaking efforts target?
- How to structure the stocktaking to serve the desired purpose?



B. Premise and goal of a stocktaking exercise

Premise



- Many activities already exist in LDCs that have been designed and implemented as part of the NAPA process to address urgent and immediate adaptation needs, or that are being implemented by other stakeholders including NGOs and other civil society groups

Goals

- To establish the knowledge base for the NAP process, drawing on available data and information
- To provide an indication of the current enabling environment for adaptation in the country
- To contribute to the identification and addressing of gaps and barriers to adaptation planning and implementation



C. Target information

Available climate analyses

- Current climate
- Future climate scenarios

Available vulnerability and climate impact analyses

- National or local
- Sector-specific

Past and ongoing adaptation activities

- Policies, Programmes, Projects
- Capacity-building

Gaps and barriers for adaptation planning and implementation

- Strengths and weaknesses on capacity, data, information, resources
- Barriers for planning and implementation



D. Guiding questions

- How have these analyses and activities been developed?
- What support and funding has been received?
- What have been the timelines involved?
- What kind of data and information has been collected?
- What kind of arrangements and capacities have they produced?
- What barriers were encountered?
- What was their overall effectiveness?



E. Sources of information and outputs

Type	Possible sources	Possible outputs
Available climate analyses	Past and current climate, any existing climate scenarios	Database of assessments of current and future climate
Available vulnerability and climate impact analyses	Past assessments of impacts, vulnerability and adaptation at national level (e.g. NAPA), regional, global (e.g. IPCC)	Database of impacts and vulnerabilities to inform future adaptation assessments
Past and ongoing adaptation activities	Programmes or projects reports (e.g. NAPAs, PPCR, etc.)	Database of past and ongoing adaptation activities and information on results and effectiveness
Gaps and barriers for adaptation planning and implementation	Available reports from past and ongoing initiatives	Documentation of gaps and barriers for planning and implementing adaptation



F. Structuring the stock-taking exercise

Stocktaking needs to be clear and structured according to the needs of the information required

National teams will need to be clear on:

- (i) what information is needed and what is not; and
- (ii) which information needs to be included and which should not



Module 4: The NAP process

4.4. Analysis of capacity needs and gaps and possible strategies to address them

LEG training workshops for 2012-2013

Asian LDCs workshop

20 – 24 August 2013, Siem Reap, Cambodia



A. In this module

Where are we?

Module 1: Setting the stage

Module 2: Implementation strategies under the NAPAs

Module 3: Accessing financial resources for implementation of NAPA

Module 4: The NAP process

4.1. Introducing the NAP process

4.2. Establishing long-term NAP process

4.3. Stocktaking and synthesis

4.4. Analysis of capacity needs & gaps and possible strat. to address them

4.5. Data analysis, management and visualization

4.6. Potential support for the NAP process

Module 5: Addressing adaptation in the context of sustainable development

Module 6: Tracking progress, monitoring and evaluation

Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- Element A of the NAP Process
- How to address key capacity needs and gaps

Guiding questions:

- What capacity exists to carry out adaptation in the country, and where are the major gaps?
- How can the gaps be addressed?
- What are the indicators to monitor progress over time?



B. Key areas of capacity for adaptation

Individual

- Human capital

Institutional

- Ministries/agencies
- Organizations
- Research centres

Systemic

- Regulatory, legislative and policy frameworks
- Public awareness on climate change adaptation
- Accountability frameworks



C. Areas where capacity is needed 1/4

Essential functions of the NAP process:

1. (Government to) Provide national leadership and coordination of adaptation efforts at all levels and act as the main interface with regional and international mechanisms
2. (The NAP process to) Collect, compile, process and disseminate data, information and knowledge on climate change and relevant development aspects in support of adaptation planning and implementation
3. Identify and address gaps and needs related to capacity for the successful design and implementation of adaptation



C. Areas where capacity is needed 2/4

Essential functions of the NAP process:

4. Assess climate-development linkages and needs, and support the integration of climate change adaptation into national and subnational development and sectoral planning (through policies, projects and programmes)
5. Analyse climate data and assess vulnerabilities to climate change and identify adaptation options at sector, subnational, national and other appropriate levels
6. Appraise adaptation options to support decision making on adaptation investment plans and development planning



C. Areas where capacity is needed 3/4

Essential functions of the NAP process:

7. Promote and facilitate the prioritization of climate change adaptation in national planning
8. Facilitate the implementation of adaptation at all levels through appropriate policies, projects and programmes taking into account opportunities for synergy
9. (The NAP process will) Facilitate monitoring, review and update of adaptation plans over time, to ensure progress and effectiveness of adaptation efforts and to how gaps are being addressed



Essential functions of the NAP process:

10. Coordinate reporting and outreach on the NAP process to stakeholders nationally, internationally and formally on progress to the UNFCCC.



D. Framework for conducting gap analysis

Establish partnerships with relevant government agencies/ministries and other stakeholders

Gather essential background information (known capacity and gaps, previous attempts, current and planned interventions etc)

Facilitate stakeholder meetings to introduce the capacity needs for adaptation, and to prepare them to provide inputs

Develop and commission a methodology for getting inputs on the capacity for each the essential functions of the NAP process

Analyze and evaluate the results to identify gaps, including their ranking where possible



E. Addressing gaps and needs

Specific activities can then be put in place to:

- Develop required technical skills:
 - a) Through training and long-term technical education
 - b) This should include graduate training in various disciplines that contributes to adaptation planning and implementation
 - c) These efforts would be carried out on a continuing basis
- Strengthen institutional arrangements by providing essential resources and mandates for supporting adaptation work
- Update existing or create new policies to facilitate adaptation work
- Identify targets in capacity within subsequent years and work towards them - using short-term training only as a stop-gap measure



Module 4: The NAP process: supporting the work

4.5 Data analysis, data management and presentation of information in support of the NAP process

LEG training workshops for 2012-2013

Asian LDCs workshop

20-24 August 2013, Siem Reap, Cambodia



A. In this module

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Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- How to best manage data under the NAP process
- Few examples of data analysis, management and visualization of information for different stakeholders

Guiding questions:

- What sort of data is required for the NAP process?
- How can available data and information be effectively managed to best support the medium- and long-term nature of the NAP process?



B. Introduction to data issues

- Stating the obvious: Data is crucial to support planning, implementation and monitoring and review of progress
- Data would be assembled, collected, and processed to support assessment of impacts, climate change risks and vulnerabilities
- The NAP process would build on data and information from a variety of sources, including the NAPA, assessments under the national communication, and relevant activities
- Data would not need to be housed under one roof or stored in one data system
- Data structures will vary by country, and should build on existing systems such as those used by different ministries and national centers (e.g. meteorological services, national statistical offices, etc)



C. Examples of relevant data for climate change adaptation

Quantitative and qualitative temporal (time series) and spatial (geographical) data on:

Biophysical

- Meteorological and hydro-meteorological data
- Land cover (forest, water, grassland, agriculture)
- Topography (elevation)

Socioeconomics

- Administrative boundaries
- Demography (population, gender, health etc.)
- Land use (type of agriculture, infrastructure, urban center etc.)
- Economics (services, industry, agriculture, forest, fish, income)

Projected changes in any of the above temperature, precipitation, demography etc.



D. Uncertainty in future climate change projects

Uncertainty

- A state of having limited knowledge where it is impossible to precisely describe issues such as existing state, future outcome, or more than one possible outcome
- Related to lack of knowledge and can be reduced by increasing knowledge

Keep in mind: increasing knowledge can also give increased uncertainty

- By using various sources and methods uncertainty in data may be reduced
- Combination of quantitative and qualitative data

Uncertainties should not be a barrier to action



E. Capacity and resource requirements for data and information

- Human resources
- Physical infrastructure
- Funding
- Technical infrastructure
- Cost-efficient solutions

Components of GLOF EWS

Remote Monitoring Stations



Communication



Control Room



Sirens

23

Ministry of Economic Affairs, Bhutan



F. Benefits of data analysis, management and visualization

Data management

- Enable efficient use of data and information
- Avoiding duplication
- Improved access and communication of data and information

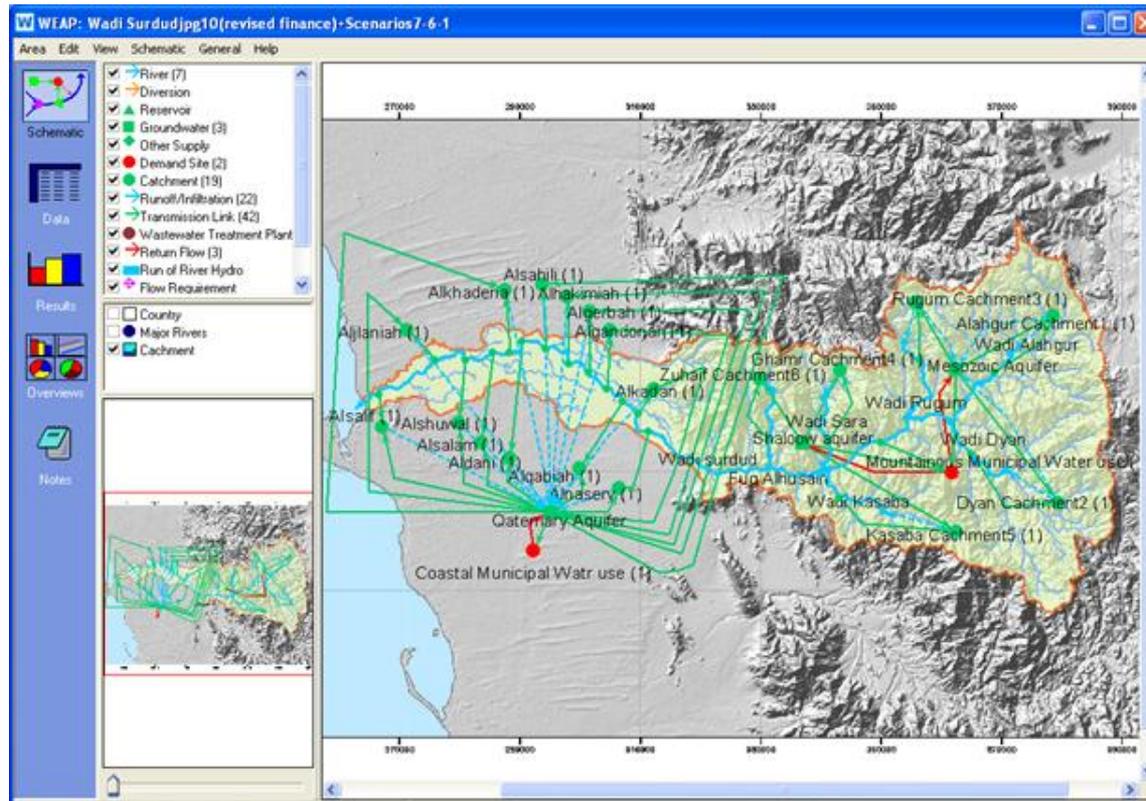
Visualization

- Display of information using maps and informative diagrams is important in effectively communicating with policy makers and non-specialists
- Many examples of displaying climate change-related information on trends, impacts, vulnerabilities exist, including vulnerability maps



G. Visualization (example on water evaluation and planning in Yemen)

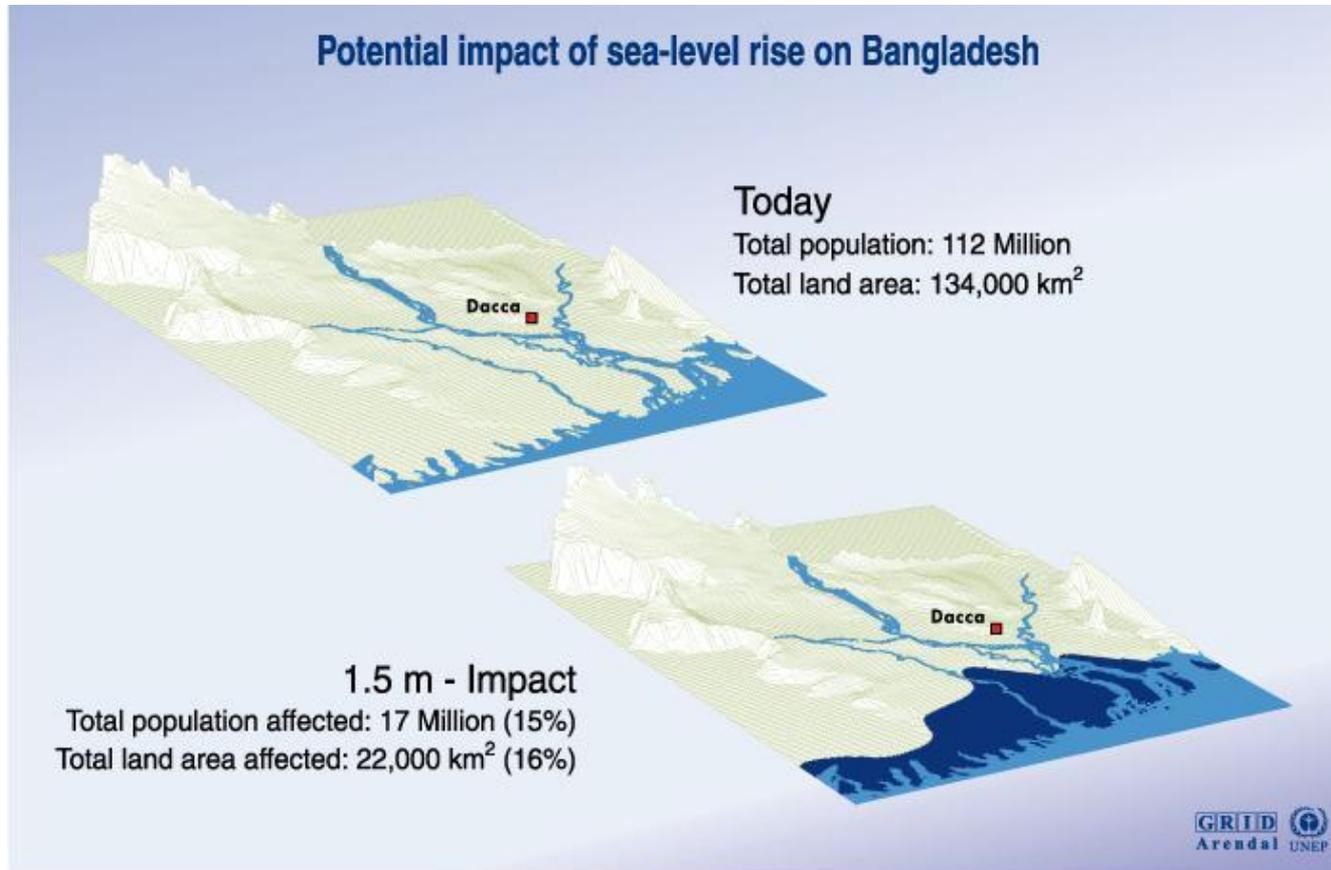
Schematic diagram of water evaluation and planning model for Wadi Surdud drainage basin to analyze the water availability for a number of adaptation and climate scenarios.



Source: Alhakimi, S. et al.: Water Resources Vulnerability and Adaptation to Climate Change in Yemen Republic: The Case Study of Wadi Surdud with its Contributing Catchments. Environmental Protection Authority.



H. Visualization (example of potential impacts of sea-level rise on Bangladesh)



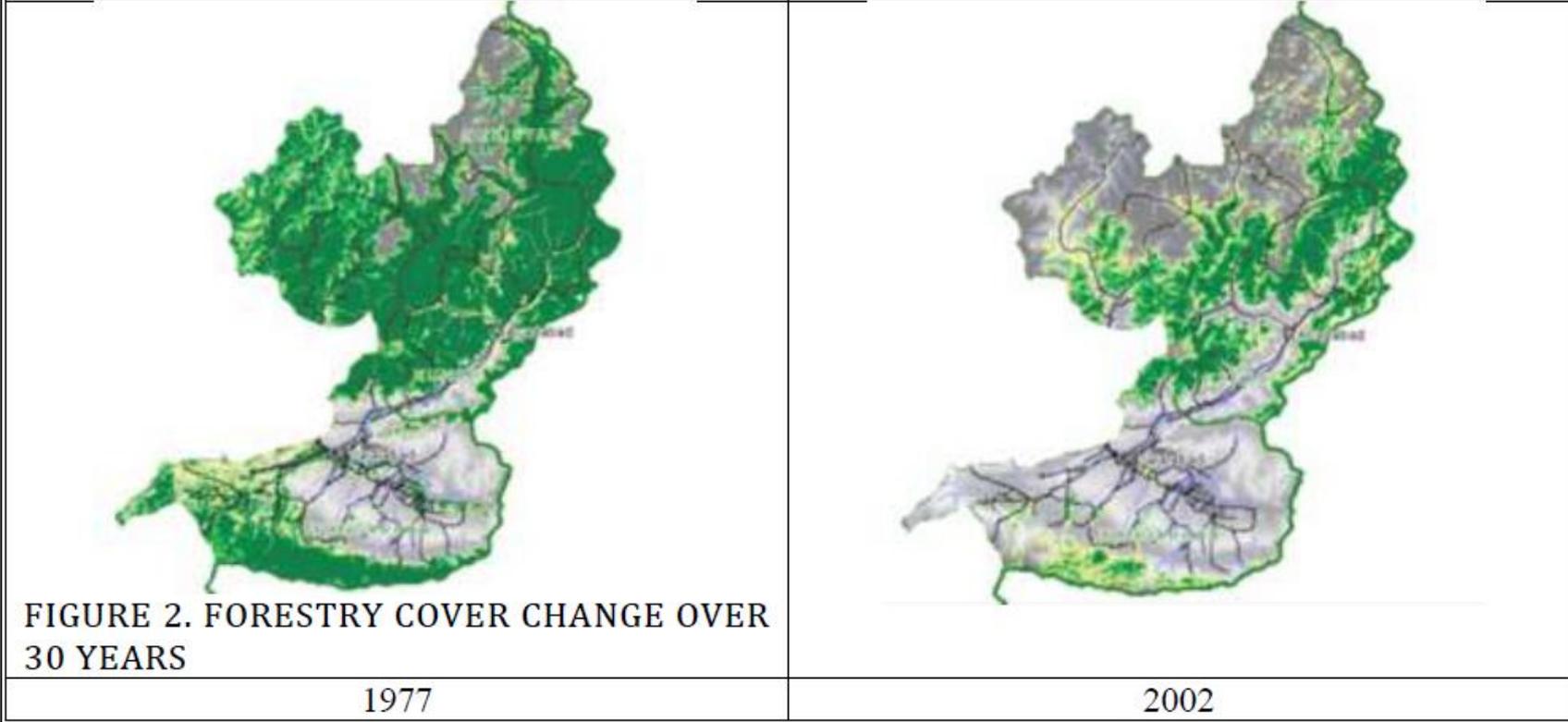
Source : UNEP/GRID Geneva; University of Dacca; JRO Munich; The World Bank; World Resources Institute, Washington D.C.

<http://www.grida.no/publications/vg/climate/page/3086.aspx>



I. Visualization (example on forestry cover change in Afghanistan)

Forestry cover change in Afghanistan between 1977 and 2002



<http://unfccc.int/resource/docs/natc/afgnc1.pdf>



Module 4: The NAP process

4.6 Support for the NAP process

LEG training workshops for 2012-2013

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Module 6: Tracking progress, monitoring and evaluation

Module 7: Best practices and lessons learned

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CASE STUDIES

Learning points:

- LEG support to the NAP process
- Financial support channels available for the NAP process

Guiding questions:

- What support is available for the NAP process?
- How to access available support?



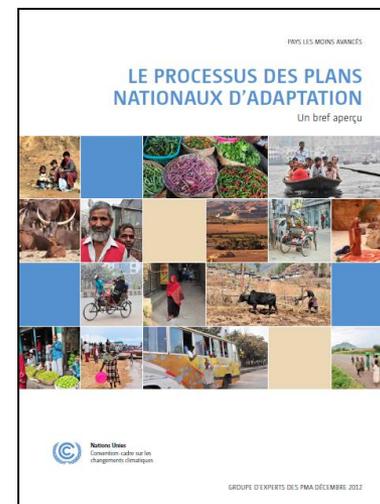
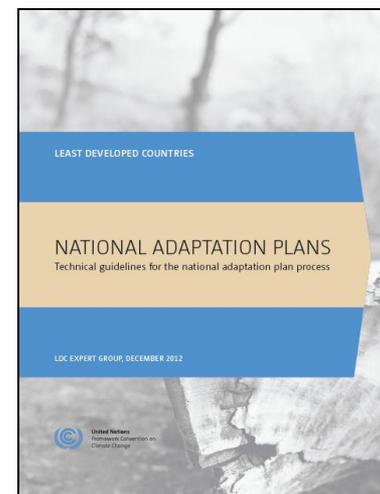
B. Technical support to the NAP process

- The LEG to:
 - Provide technical guidance and support to the NAP process
 - Prepare technical guidelines for the NAP process
 - Identify support needs for the formulation and implementation of NAPs
 - Invite the Adaptation Committee and other relevant bodies under the Convention to contribute to its work
- National and regional centres and networks to support the NAP process in LDCs
- Developed country Parties to provide LDCs with finance, technology and capacity-building



C. LEG support to the NAP process – progress so far

- 1 The LEG has produced the technical guidelines for the NAP process (English, French and Portuguese)
- 2 Identified ways to further support the LDCs over the next 2 years to undertake the NAP process
- 3 The LEG found out that LDCs are ready to embark on the NAP process
- 4 The LEG has incorporated training on NAPs in the ongoing training workshops for 2012-2013
- 5 The LEG organized the *NAP Expo* during SB 38 <<http://unfccc.int/7453>>



D. Financial support under the Convention (LDCF)

The GEF requested to enable activities for the preparation of the NAP process by the LDC Parties through the LDCF

In concrete terms, the GEF has been requested:

- (a) [...] To meet the agreed full cost, as appropriate, of activities to **enable the preparation of the [NAP] process as [per] paragraphs 2–6 of the initial guidelines** [...] in the annex to decision 5/CP.17;
- (b) To provide support for the [NAP] process, **while maintaining support for the LDC work programme**, including NAPAs;
- (c) To encourage **a flexible approach** that enables the [LDC] Parties to access funding for components of the [NAP] process as identified by the [LDC] Parties in response to national needs and circumstances



E. Financial support under the Convention (GCF)

The Green Climate Fund (GCF) is the designated operating entity of the financial mechanism of the UNFCCC, to provide financing for the implementation of the Convention

The Fund will strive to maximize the impact of its funding for adaptation and mitigation, and seek a balance between the two, while promoting environmental, social, economic and development co-benefits and taking a gender-sensitive approach.



F. Support outside of the Convention

- Developed countries through various means, such as:
 - Multilateral channels
 - Bilateral programmes
 - Etc.
- United Nations organizations and specialized agencies
- International, regional, national and sub-national organizations
- National and regional centres and networks

