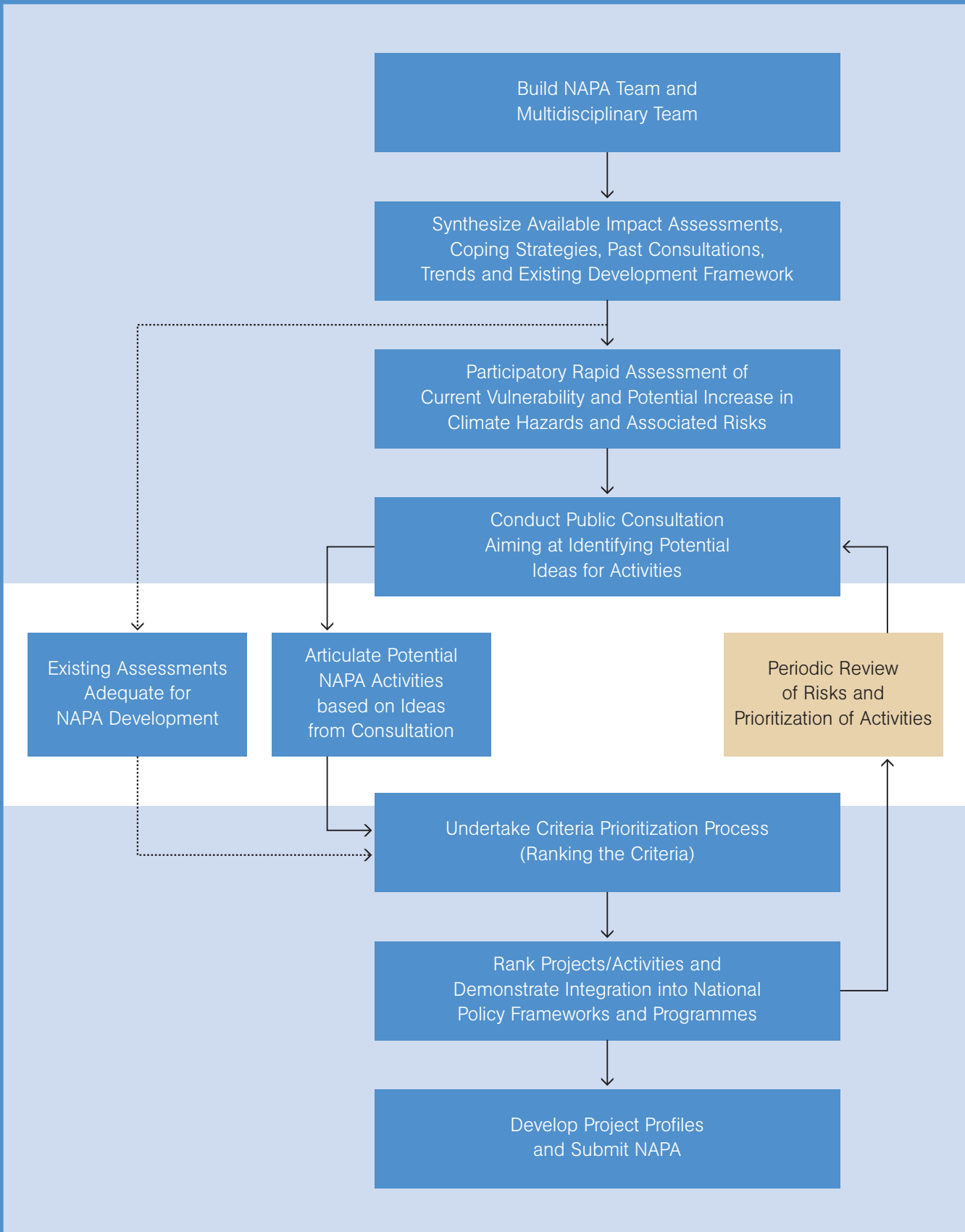# LEAST DEVELOPED COUNTRIES

NATIONAL ADAPTATION PROGRAMMES OF ACTION:

Overview of preparation, design of implementation strategies and submission of revised project lists and profiles

LDC Expert Group 2009

UNFCCC

Figure 1. **Flowchart of main steps in developing a NAPA, as given in the LEG annotated guidelines for NAPA preparation**

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                    ┌─────────────────────────────┐
                    │   Build NAPA Team and       │
                    │   Multidisciplinary Team    │
                    └─────────────────────────────┘
                                 │
                                 ▼
                    ┌─────────────────────────────┐
                    │ Synthesize Available Impact │
                    │ Assessments, Coping         │
                    │ Strategies, Past            │
                    │ Consultations, Trends and   │
                    │ Existing Development        │
                    │ Framework                   │
                    └─────────────────────────────┘
                                 │
                                 ▼
                    ┌─────────────────────────────┐
                    │ Participatory Rapid         │
                    │ Assessment of Current       │
                    │ Vulnerability and Potential │
                    │ Increase in Climate Hazards │
                    │ and Associated Risks        │
                    └─────────────────────────────┘
                                 │
                                 ▼
                    ┌─────────────────────────────┐
                    │ Conduct Public Consultation │
                    │ Aiming at Identifying       │
                    │ Potential Ideas for         │
                    │ Activities                  │
                    └─────────────────────────────┘
```

Existing Assessments Adequate for NAPA Development

Articulate Potential NAPA Activities based on Ideas from Consultation

Periodic Review of Risks and Prioritization of Activities

Undertake Criteria Prioritization Process (Ranking the Criteria)

Rank Projects/Activities and Demonstrate Integration into National Policy Frameworks and Programmes

Develop Project Profiles and Submit NAPA

Abbreviation: NAPA = National adaptation programmes of action

THE LEAST DEVELOPED COUNTRIES NATIONAL ADAPTATION PROGRAMMES OF ACTION:

OVERVIEW OF PREPARATION, DESIGN OF IMPLEMENTATION STRATEGIES AND SUBMISSION OF REVISED PROJECT LISTS AND PROFILES

LDC Expert Group 2009

SUMMARY

This paper describes the steps in the preparation of national adaptation programmes of action (NAPAs) and explores options for addressing problems identified by NAPA teams, while building upon lessons learned and best practices. The paper then presents a possible approach for updating NAPAs, to be used by least developed country Parties in submitting information that would supplement previously submitted NAPAs as a way to update risks and priorities being faced. The paper is also a contribution of the least developed countries expert goup (LEG) towards the Nairobi work programme, and could inform the discussions on adaptation planning under the Ad-Hoc Working Group on Long-term Cooperative Action under the Convention. The paper is a key delivery of the LEG work programme for 2008 – 2010 as specified in document FCCC/SBI/2008/6 and in the list of priority activities contained in document FCCC/SBI/2008/14.

May 2009

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I. INTRODUCTION

1.1.   OVERVIEW

1.   The Conference of the Parties (COP), by its decision 5/CP.7, established a work programme for the implementation of Article 4, paragraph 9, of the Convention. The work programme covers preparation and implementation of NAPAs, strengthening climate change secretariats and focal points, training in negotiation skills and language, promotion of public awareness, and development and transfer of technologies for adaptation. In addition, the COP decided to establish a fund to support the work programme of the LDCs by its decision 7/CP.7.

2.   Furthermore, by its decision 29/CP.7, the COP established the LEG. The primary objective of the LEG is to provide advice to LDCs on the preparation and implementation of NAPAs. This includes technical advice on identification of relevant data and information to be synthesized as part of an integrated assessment, advice on capacity-building needs of LDCs in support of NAPA preparation and implementation, and liaison and collaboration with other relevant United Nations conventions and efforts with regard to adaptation activities for LDCs, and assistance in integrating NAPAs into the greater development context and policy instruments.

3.   One of the early products of the LEG is the annotated guidelines for the preparation of NAPAs, produced in 2002.[1] In addition, the LEG prepared several technical papers dealing with methodological issues on synthesis of available information, regional synergy, synergy with multilateral environmental agreements and design of implementation strategies for NAPA implementation. A NAPA Primer [2] was prepared to document the history of the NAPA programme and to offer case studies on NAPA preparation.

4.   While most LDCs have completed their NAPAs (41 of the 48 LDC Parties as of May 2009), the need for designing and implementing national adaptation plans in all countries calls for a closer look at the methods and approaches used in the NAPA. For the LDC Parties that have completed their NAPAs, there is the need to develop implementation strategies that take into account the latest funding opportunities for adaptation, and improved coordination across national plans and projects.

5.   An important component of the steps for the preparation of NAPAs, was the feedback loop that recognized the need to periodically review climate change risks and update the prioritization of activities in the NAPAs.

6.   The goals of this paper are thus to summarize key steps in the preparation of NAPAs while reflecting on experiences of LDCs and key lessons learned, and to provide new guidelines for the submission of the updates to the NAPA. The paper seeks to:

(a)   Assist in synthesizing experiences from NAPA teams on application of the LEG annotated guidelines for NAPA preparation;
(b)   Suggest ways to elaborate and update the NAPA preparation guidelines on areas that LDC NAPA teams have provided feedback;
(c)   Provide guidance on the periodic review and update of the risks and prioritization of NAPA activities over time.

1.2.   EXISTING GUIDELINES FOR NAPA PREPARATION

7.   The COP adopted guidelines for the preparation of NAPAs at its seventh session, and invited LDC Parties to use the guidelines in accordance with their national circumstances. Following further annotations by the LEG, NAPAs are expected to:

(a)   Focus on urgent and immediate needs for which further delay could increase vulnerability or lead to increased costs at a later stage;
(b)   Use existing information, without the need for additional comprehensive assessments and research before the plans can be completed;
(c)   Be action-oriented, country-driven, flexible, and based on national circumstances;
(d)   Be presented in a simple format which can be easily understood both by policy-level decision-makers and by the public.

1.3.   THE LDC EXPERT GROUP

8.   Since its inception in 2001, the LEG has served four mandates: 2002 – 2003, 2004 – 2005, 2006 – 2007 and 2008 – 2010. The LEG organized one global NAPA launch workshop in Bangladesh in 2002 and four regional ones in 2003 for Africa (two workshops), Asia and the Pacific Region. The aim of the workshops was to equip NAPA teams with hands-on tools for preparing NAPAs using the LEG annotated guidelines and to facilitate the exchange of experiences. A review of the NAPA guidelines was deemed unnecessary by the eighth and ninth sessions of the COP under decision 9/CP.8 and decision 8/CP.9.

9.   In its collaboration with other expert groups and agencies, the LEG has worked with the Consultative Group of Experts on National Communications from Non-Annex I Parties [3] to prepare technical papers on integrating NAPAs into national communications, the United Nations Institute for Training and Research (UNITAR) on NAPA trainings, and the Global Environment Facility (GEF) in seeking ways to improve operations of the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF).

10.   Following decision 3/CP.11, the Subsidiary Body for Implementation (SBI) at its twenty-fifth and twenty-sixth sessions, requested the LEG to convene and take stock of progress made by LDC Parties in the preparation and implementation of NAPAs, and in accessing funds from the LDCF. An assessment was then conducted at a stocktaking meeting held in Bangkok, Thailand, in September 2007, and the results can be found in the document FCCC/SBI/2007/32.

11.   The assessment found that the needs of the LDCs in NAPA preparation had been met, and that majority of LDCs had conducted and submitted NAPAs. Meanwhile, as of 27 May 2009 all LDCs eligible for funding had received LDCF funding for preparing NAPAs, and 41 had completed and officially submitted.

12.   On the other hand the assessment also found that there had been very slow progress in the implementation of NAPAs. This indicated that more work is needed in this area as well as in ensuring the submission of NAPAs by the remaining LDCs. The project cycle for submission of NAPAs was found to be too long, taking on average three years, and even as long as five years or more. Submitting requests to implementing agencies for the development of NAPA project proposals took an average of 13 months.

13.   Under its current mandate, the LEG is collaborating with the GEF and its agencies to address some of the obstacles that LDC Parties are facing in implementing NAPAs. The LEG is also continuing to provide technical guidance and advise on the preparation and implementation of NAPAs. This technical paper, a brochure on LDCs under the UNFCCC, frequently asked questions, step-by-step guide for the imlementation of NAPAs, and NAPA implementation training workshops to begin in October 2009, are part of the LEG activities is supporting the LDCs. More information on the current LEG work programme and activities being conducted, can be found on the least developed countries portal at <http://www.unfccc.int/ldc>.

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[1] <http://unfccc.int/files/cooperation_and_support/ldc/application/pdf/annguide.pdf>.

[2] Available at <http://unfccc.int/ldc/>.

[3] Non-Annex I Parties are mostly developing countries under the Convention.

II.   KEY STEPS IN THE PREPARATION OF NAPAS AND SUGGESTED UPDATES

2.1.   STEP 1: ESTABLISHMENT OF NAPA TEAM AND MULTIDISCIPLINARY TEAMS

14.   The NAPA process is necessary in developing adaptive capacities of LDCs to adverse effects of climate change. The main steps in developing a NAPA are shown in FIGURE 1, based on the LEG annotated guidelines for NAPA preparation. The first step is setting up NAPA team and multidisciplinary teams and, as this is the basis of the process, it requires careful consideration. It must balance inclusiveness with efficiency, and include the most relevant key players in order to capture the country's immediate and pressing climate change issues. The teams should be cohesive and enduring through the NAPA preparation and implementation process in order to ensure institutional memory and continuity, notwithstanding the common problem of high staff turnover in government agencies of LDCs.[4]

15.   Pre-existing climate change or other environment-based committees and other institutional mechanisms, for example on biodiversity, desertification and national communications, can serve as the nucleus for building more inclusive NAPA and multidisciplinary teams. These are also the basis for essential early and broad-based involvement of stakeholders, including local communities who often disproportionately bear the brunt of climate change impacts and are best placed to discuss immediate and urgent needs and coping strategies and potential project interventions.

16.   A bottom-up approach that integrates grassroots participation and indigenous knowledge, thereby increasing the local relevance of suggested interventions by grounding the NAPAs more directly in poverty reduction should be taken as an underlying principle. Thus, the composition of the NAPA multidisciplinary teams should include such expertise so as to allow a strong public participatory angle, including the ability to solicit and incorporate relevant indigenous knowledge. The inclusion of at least one social scientist, or natural scientists with considerable experience and participatory development methodologies, is key.

17.   Sustained use of national experts should be considered in order to build a pool of capable experts. Simple tools for doing this include expert knowledge of the team, interviews, or simple surveys to produce a checklist.[5] It is important that this list is updated during the NAPA process to include key groups that have been left out or ones that have become more relevant. Some LDC Parties found that building sector working groups to draft sections of the NAPA and project profiles was particularly effective.[6]

18.   Small island developing States (SIDS) that are composed of multiple islands spread over a large geographic area face special challenges in obtaining a representative sample of stakeholder participation.[7] It is essential that the NAPA teams use statistical sampling methods (combinations of random, stratified, systematic and purposive sampling) in selecting stakeholder groups.

19.   LDCs may find it useful to ensure that administrative arrangements have oversight bodies or committees along with multidisciplinary working groups or task forces that include specialized technical committees. In the case of Ethiopia, for example, the national focal point oversaw a steering committee that provided strategic oversight and policy guidance to the NAPA team, and a national project coordination unit that coordinated all NAPA from the national meteorological services agency. In addition, regional project coordination units based in regional agricultural extension offices helped to mobilize stakeholders in the consultative process and link to the national projects unit. Four technical working groups were overseen by a multidisciplinary assessment team, as follows: [8]

(a)   A consultative assessment task force to identify priorities for adaptation project activities;

(b)   A synergy assessment task force to identify and assess climate change adaptation strategies and projects to include in the NAPA and other environment-based initiatives or multilateral conventions;

(c)   An evaluation criteria assessment task force to develop relevant criteria for prioritizing adaptation projects;

(d)   A project portfolio task force to prepare a portfolio of adaptation projects.

20.   If well done, the consultative component of the NAPA process can generate high expectations from stakeholders. The NAPA and multi-disciplinary teams must seek practical ways to provide thorough explanation of the goals of NAPA and expected outcomes. Implementation of priority projects soon after a NAPA is completed is one way to ensure confidence-building in communities consulted, and to demonstrate responsiveness to the spirit of the NAPA, which is to address urgent and immediate needs. Care should be taken to avoid the temptation to embellish expected outcomes in order to attract wider stakeholder participation.

21.   Soon, all LDCs will have prepared and submitted their NAPAs. The experience and lessons learned in the design of national teams to prepare NAPAs will be useful in NAPA implementation and national adaptation planning.

2.2.   STEP 2: SYNTHESIS OF AVAILABLE INFORMATION

22.   The second step guides the collection of available information on adverse effects of climate change and coping strategies, taking into consideration national development plans, strategies and programmes. It includes definition of goals and criteria, review of relevant policies and identification of synergies. It is a foundation for the next set of steps, and has to incorporate both sound sciences to highlight the links to climate change and social dynamics in order to gain the political capital needed for a smooth and widely accepted NAPA process and realization of NAPA goals nationally.

23.   The success of Step 2 and the entire NAPA process depends on collecting and effectively presenting information that will convince key political decision-makers. This can be achieved by focusing on listing the types of available data from both in-country and other sources, finding the best way to extract relevant information, synthesizing, organizing and presenting the essence of the information in a simple and logical format.

24.   However, effective access to information relevant for NAPA preparation has remained a challenge among the LDCs. This forced some countries to focus on meteorological data and climate impacts which tend to be more readily available. Provision of information on root-cause analysis and identification of adaptation options from key vulnerabilities also remain a challenge, as well as mechanisms for capturing traditionally undocumented information at national to regional levels, including indigenous adaptation knowledge (see TABLE II-1). At the same time, there is more information available from in-country and external sources that has not been utilized sufficiently, and collected information has not always been organized logically enough to achieve maximum communication effect.

25.   The documents Technical Support to Facilitate Step 2 of the NAPA Process,[9] and the LEG technical paper on synthesis of available information for the preparation of national adaptation programmes of action,[10] provide elaborations of how to synthesize available information. TABLE II-1 details the selection, quality, accessibility, presentation and use of information required to satisfy the goals of Step 2 through the answers to four main questions, and provides potential sources of information.

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[4]   FCCC/SBI/2007/32, paragraph 32.

[5]   Tools and exercises on stakeholder analysis can be found in the report "National adaptation programmes of action, NAPA: Selection of examples and exercises drawn from the regional NAPA preparation workshops,", available at <http://www.napa-pana.org/>.

[6]   FCCC/SBI/2007/32, paragraph 33.

[7]   FCCC/SBI/2007/12, paragraph 33.

[8]   See FOOTNOTE 4.

[9]   Technical support to facilitate step 2 of the NAPA process. Available at <http://www.napa-pana.org>.

[10] FCCC/TP/2005/2.

Table II-1.   **Guiding questions to address Step 2 of the NAPA process and sources of information**

Questions	Where to find the information
1. What are the major climate hazards within your country? (E.g. at the community scale, for key sectors and populations)	Data on current climate hazards, risk and variability will aid in answering this question. Possible information sources: - Inventories, maps and data series of natural events and climate related risks (e.g. drought, flooding) - National evaluations on desertification - Disaster preparedness plans, inventories and reviews - Meteorological data (observations)
2. Where do climate-related hazards occur?	Both existing and analytical maps, tables and charts can be developed to answer this question. Possible information sources include: - Inventories, maps and data series of natural events and climate related risks (e.g. drought, flooding) - UNCCD national action programmes, UNFCCC national communications - Disaster preparedness plans, inventories and reviews - Meteorological databases (observations) - IPCC Assessment Reports (regional assessments available at <http://www.ipcc.ch>)
3.1 What are the current trends in these hazards?	Information regarding changes in frequency and spatial extent of climate related events, as well as changes in coping thresholds will aid in answering this question. Information sources can come from: - Climate change scenarios - UNFCCC national communications
3.2 What are the ranges of potential changes, on the time scale of current planning decisions?	Supplementary data can also be derived from: - Climate variability data - IPCC Assessment Reports (regional assessments available at <http://www.ipcc.ch>)
4. What kind of impacts do these hazards have in your country? (E.g. at the community scale, for key sectors and populations)	Information on the impacts of hazards can be drawn from: - Disaster preparedness and action plans - Inventories, maps and data related to the impact of past hazards – Maps and data on socio-economic and demographic conditions and trends – Sectoral analyses (e.g. agriculture, water resources, energy) – Poverty reduction strategy papers and food security strategies - National communications on climate change

26.   The compilation and analysis of available data for vulnerability needs to answer the questions of who or what is vulnerable, to what and why they are vulnerable, and what can be done to lessen this vulnerability. Sources of information include sectoral studies done by various government agencies, localized vulnerability analyses performed by Non Governmental Organizations (NGOs), United Nations agencies, other organizations, academic studies targeting vulnerability to climate stress, livelihoods, and climate change impacts, socio-economic data on impacts of disasters, and national communications on climate change.

27.   It is important to categorize the country by spatial scale (e.g. local, district, regional or national), socio-economic status, social relations or shared economic activities (e.g. smallholder farmers, women, commercial farmers, urban/rural livelihoods, corporations, etc), as regards to the exposure to a particular threat. Geographic information systems (GIS) are useful tools for identifying vulnerable groups and areas based on integration of diverse social, economic, political and biophysical data. Further, GIS and mapping provide powerful tools to communicate information on high risk areas and livelihood or social groups. Virtually all LDCs now have some level of GIS expertise in-country to allow such basic analyses of vulnerability.

28.   Local communities have useful information on major climatic hazards in their areas, and strategies that they have used traditionally to adapt to the hazards. This indigenous knowledge is important to capture in order to get a wider picture of the climate change impacts and adaptation strategies while increasing the local ownership and relevance of NAPA outputs. Although much of this data is qualitative, some has been captured in simple summary statistics in various local and national surveys (e.g. demographic and health surveys conducted in many LDCs) that record percent responses. From this knowledge of coping strategies, recovery and adaptation dynamics of vulnerability can be captured qualitatively by using narrative, for instance the different types of response strategies that different groups of people employ against climate change or variability.

2.3.   STEP 3: RAPID PARTICIPATORY VULNERABILITY ASSESSMENT

29.   Step 3 involves integrated assessment of current vulnerability where existing information is missing or inadequate, and potential increase in climatic hazards and associated risks. It encompasses rapid vulnerability assessment in consultation with key stakeholders and experts, followed by elaboration of priority vulnerabilities, and identification of indicators for evaluating adaptive options to address urgent and immediate needs. It advances further from the key questions of who or what, how or to what and why they are vulnerable, towards measures to mitigate vulnerability. It focuses on identifying climate-related vulnerable livelihoods.

30.   For LDCs seeking a stronger grounding in the conceptualization of adaptation, the report on NAPA selection of examples and exercises drawn from the regional NAPA preparation workshops provides useful information grounded in sustainable livelihoods (hence, synergistic links to poverty reduction) against which climate-based vulnerability is assessed.[11]

31.   On a practical basis, the exercises from the NAPA regional workshops include three activities as part of the process of vulnerability assessment, combined later in a livelihood matrix:

(a)   Canvass experts and stakeholders for possible approaches to vulnerability poverty reduction or climatic hazards that can be modified to help understand climate change adaptation;

(b)   Construct a mental map of the actors and processes in vulnerability to climate change;

(c)   Produce a poster with all the elements of the NAPA process for presentation to stakeholders and external audiences, including sources of information, methodologies and consultation processes.

32.   The livelihoods-based approach to climate change vulnerability culminates in a list of vulnerable livelihoods, a chart of stakeholder social networks and interest in climate change adaptation, and leads to engagement with relevant stakeholders for purposes of mitigating vulnerability.

[11] National adaptation programmes of action, NAPA: Selection of examples and exercises drawn from the regional NAPA preparation workshops, UNFCCC LEG /UNITAR, 2004. Available at <http://www.napa-pana.org/>.

33.   An analysis of the exposure to climate risks based on present threats or opportunities and hazards (e.g. frequency, type and range of impacts) can be summarized in a tabular inventory. Such a table can include the hazard, description, estimation of the degree of population affected, spatial extent, intelligent estimates of other impacts on a simple lickert scale, loss of life, landslides, duration, frequency, trends, etc. Thus, this process should result in a list of climatic hazards, identification of compounding threats, and characterization of the primary climatic hazards.

2.4.   STEP 4: CONSULT STAKEHOLDERS AND THE PUBLIC

34.   LDCs have become increasingly experienced at processes that integrate the views of all interested parties or stakeholders, as well as the general public, into project decision-making. The diversity of stakeholders includes government ministries, academic and research institutions, NGOs, civil society organizations, community-based organizations, political and traditional leaders, private sector, including small to medium sized enterprises.

35.   Yet, as the LEG also notes, the degree and quality of grassroots participation is challenging and needs careful planning.[12] It is easier to talk about grassroots participation than it is to devise and implement an effective participatory process. Because of the underlying challenges, experts sometimes resort to token participation just to meet the letter of the guidelines. The practical relevance and success of NAPA interventions depend on widespread buy-in among stakeholders. This helps to link the NAPA process directly to the key challenges of devising appropriate and effective strategies for reducing poverty and exploring synergies with other national and regional efforts.

36.   The immediate purpose of a stakeholder and or wider public consultative process is to collect a shortlist of ideas for developing into potential NAPA activities. NAPA teams should endeavor to make this process deliberate, systematic, objective, comprehensive, appropriate, and yet flexible enough to adapt to circumstances, in order to make it effective. The process should answer questions as to who should participate, what in, why, and how.

37.   Several participatory tools can help in this process. Depending on the level of intervention and objective of the consultation, these tools include interviews, questionnaire-based surveys, participatory rural appraisals (PRAs), rapid rural appraisals (RRAs), appreciative inquiries, focus groups, informal meetings, workshops, structured events, such as constituency meetings, policy dialogues and public hearings. In the case of Africa, for instance, national workshops have been the most common method, followed by individual interviews, sub-national workshops, group interviews and surveys.[13] The report of the NAPA training workshop held in Addis Ababa, Ethiopia, summarizes the tools and their advantages and disadvantages, as shown in TABLE II-2. The NAPA workshop report also lists some principles that should be met to help improve the quality of the process and its outputs:

(a)   Ensure legitimacy of the participatory process;
(b)   Ensure effective coordination by NAPA team, building on existing mechanisms for consultation;
(c)   Provide a clear explanation of the purpose, intent and expectations of stakeholder involvement;
(d)   Set a reasonable deadline for completing the NAPA process that incorporates adequate time for thorough stakeholder dialogue and cooperation (participation should not be an afterthought);
(e)   NAPA teams to undertake advance preparation and attain general knowledge of stakeholder, including who is affected by particular thematic areas (e.g. vulnerability to climate change), what indigenous adaptation knowledge might be tapped, and the sectors, interests and regions that different stakeholders represent.

38.   TABLE II-2 also gives a summary of stakeholder and public involvement tools.

39.   While many of the tools and methods suggested above can be used to foster grassroots participation and capture indigenous knowledge on climate change adaptation, the best methods for rural areas fall within rapid participatory development, action research, and social transformation including PRA, RRA and appreciative inquiry. These are quick and systematic methods of gathering information about a specific community, and can be used to facilitate community self-assessment and prioritization of major climate related problems, identify available resources and knowledge to tackle the problems, gaps in information, and a list of interventions to implement at community level. Virtually all LDCs will have in-country expertise in these methodologies and tools.

40.   Stakeholder and public consultation should be tied closely to steps 2 and 3, and information from other climate change assessments including national communications, development planning and multilateral environmental agreements (MEAs). In addition to the views, interests and knowledge of stakeholders in relation to climate change, step 4 of the NAPA process should end with a preliminary list of potential climate change interventions.

41.   Statistical sampling methods, including stratified random sampling or systematic sampling can be used to address the special geographic challenges faced by SIDS that have many small and isolated occupied islands, as well as by large countries, balancing quality of representation with cost and time effectiveness. Stratification can be based on key vulnerabilities by sector, population, and geographic region or patterns, and national priorities. Smaller or compact countries or SIDS are in a better position to consult a larger proportion of their population than larger countries with bigger populations.

2.5.   STEP 5: IDENTIFY POTENTIAL NAPA ACTIVITIES

42.   Step 5 identifies relevant adaptation options including capacity building, policy reform, integration into sectoral policies and project-level activities. Together with Steps 6, 7 and 8, it deals with the identification, prioritization and ranking of potential climate change adaptation measures, and should use participatory tools that ground the measures into local realities in view of national development priorities and strategies and screening procedures so as to target the most urgent and immediate, nationally relevant vulnerabilities and adaptation needs in the context of NAPAs. The preliminary list of climate change interventions or activities is then input for further evaluation, prioritization and screening.

43.   Much of the work involves articulation, amendment, consolidation and summarization of potential NAPA activities based on ideas from the consultations to the lowest possible denominator. Expert knowledge and information from secondary sources (that may not have been captured in the consultation process) is also integrated at this stage. For instance, in a country where majority of the population lives below poverty line and are socially and economically vulnerable, the NAPA team would ensure that activities that address key vulnerabilities identified in step 3, and increase opportunities for income generation, or sustained economic growth to improve the living standards of the local populations, are included in the preliminary list.

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[12] FCCC/SBI/2007/32, paragraph 57.

[13] Lessons Learned in Preparing National Adaptation Programmes of Action in Eastern and Southern Africa, ECBI Policy Analysis Report, Balgis Osman-Elasha & Thomas E Downing, 2007. Available at <http://www.eurocapacity.org>.

Table II-2.   **Stakeholder/Public Involvement Tools**

Level of intervention	Methods	Tools
Stakeholder analysis	Assessment of major stakeholders, their relevance to adaptation, skills, mission, any critical decisions scheduled that should take climate or climate risks into account	Interviews and expert knowledge to construct a checklist or profile of major stakeholders
Information gathering and dissemination	Keeping the public and stakeholders informed, gathering information for informed decision-making	Surveys, questionnaires, participatory rural appraisals, electronic discussion groups, websites, workshops, conference discussions, working papers, etc
Stakeholder consultation	Information exchanges based on the principle of two-way communication to solicit input from interested stakeholders	Examples range from very informal contacts, to more structured events, such as constituency meetings, policy dialogues, public hearings, road shows, etc
Multi-stakeholder body	Multi-stakeholder bodies are mechanisms for coordinating and integrating stakeholder groups in the decision-making processes. Their specific form and function vary	Forums, such as National Councils for Sustainable Development, round tables, commissions, collaborative policy forums, etc
Institutionalized mechanisms with stakeholder participation	Mechanisms created at national level within the regular administrative system that also include representatives of various stakeholders	National committees for implementation of multilateral environmental agreements (climate change, biodiversity, etc.), development planning, etc

	Advantages	Disadvantages
	Awareness among project team of the decision environment. Will help target realistic stakeholder participation and support	Stakeholders change, and thus this assessment should be updated, at least informally, as the national adaptation programmes of action (NAPA) process develops
	Opportunity to interact with stakeholders and to adapt the assessment to address specific concerns more directly	Opportunity to interact with stakeholders and to adapt the assessment to address specific concerns more directly
	Heightens awareness of issues under consideration without the time or financial burden associated with institutional structures; seeks to legitimize and democratize the process	Criticized as sometimes being post facto by informing the public and stakeholders after decisions have been drafted with little insurance that modifications will be made. Sometimes one-way communication instead of a real dialogue between decision-makers and stakeholders/ local communities
	Semi-institutionalized structures; although the form and function generally vary, such bodies are broad-based with participants on an equal-footing; heterogeneous views are taken into consideration leading to integrated and more holistic decision making	Although sometimes high profile, advisory bodies are usually ad hoc and lack consistent participation; bodies might also lack authority to implement decisions and thus be seen as talk shops; power struggles are not absent; wealthy vs. directly affected publics tend to participate disproportionately; some views are marginalized, particularly those of the poor and vulnerable groups
	A more formalized and permanent degree of involvement; stakeholder participants usually selected on the basis of personal prestige or eminent persons	Possible lack of widespread public involvement on permanent basis, usually ad hoc, gaps and duplication in roles, institutional competition, inadequate skills and personnel needed for some of the complex technical issues; other constraints related to advisory bodies as described above

2.6.   STEP 6: PRIORITIZE CRITERIA AND SCREEN ACTIVITIES

44.   Current NAPA guidelines already provide some guiding principles for selection criteria, including degree of poverty reduction, extent of adverse effects of climatic changes, cost effectiveness, and synergies with MEAs and other regional initiatives. The criteria selection involves the development or selection of appropriate criteria (in addition to the suggested ones) that help to minimize biases and subjectivity in the ranking of the preliminary list of activities for addressing adaptive capacity. The NAPA team may add criteria that are already commonly used for ranking and/or assessing project or activities in other national development planning/monitoring activities. Some criteria or indicators can target measurement of actual benefits from targeted vulnerable groups, such as a measure of change in resources or material wealth of the poor, economic growth rate of the poor, and economic losses avoided by the poor. Such criteria help to determine urgent and immediate needs by providing some measure of the level of vulnerability of social groups or geographic areas.

45.   This process should ideally be participatory and involve discussions and negotiations among various stakeholders. It should reconcile different methods for selecting interventions based on the diverse perceptions of vulnerability and adaptation, and broader country-level development goals and strategies.

46.   For instance, finance ministries may emphasize criteria on cost effectiveness of interventions while environment ministries focus on sustainable natural resources management. It is important that the NAPA team selects criteria that promote synergy across sectoral interests or perceptions.

47.   It is important to select criteria that are as simple as possible, and the LEG further encourages limiting the number of criteria so that they are manageable and understandable and foster participation.[14]

48.   Once a set of criteria has been agreed, their relative importance has to be decided by assigning relative weights to the criteria. The NAPA team should assign higher weights to criteria that address adverse effects of climate change that are immediate and urgent. The NAPA team will require additional information and even technical expertise from the relevant line ministries and departments for each of the activities in order to be able to weight them appropriately.

2.7.   STEP 7: RANK ACTIVITIES

49.   With the list of adaptation options prepared and criteria selected and weighted, there are several tools that can be used to prioritize and screen the NAPA activities. Annex D of the *Annotated guidelines for the preparation of NAPAs* summarizes two of the most commonly used methods: cost benefit analysis (CBA) and cost effectiveness analysis (CEA). These two methods require that both costs and benefits be expressed strictly in monetary terms, and many of the climate related vulnerabilities are hard to convert into monetary terms, particularly within the scope of the NAPA process. A third commonly used method is the multi criteria analysis (MCA) and is more suitable for most LDCs because it does not require quantitative costing. The significance of MCA goes beyond the NAPA preparation process into NAPA implementation where it can be used for project development and ranking of activities.

50.   A review of completed NAPAs shows that most LDCs that have completed NAPAs have used a combination of the simple multi-criteria software programs and stakeholder consultations. A small number have used computer software only or sensitivity analysis for ranking potential NAPA activities.

51.   MCA uses the same cost and benefit principles of CBA and CEA without quantitative monetary measures. However, MCA differs in the way types of criteria are used, their estimation, weighting, processing and interpretation. For each option and criterion, MCA works with user-assigned relative or standardized scores on a likert scale with the lowest value having no impact and the top value in the range having the maximum impact. Simple arithmetic is then used to convert the observed scores on the scale to the standardized score on the scale 0–1. Some MCA software also use mathematical functions that the user can interactively develop based on potential or observed trends in a particular variable over time, which the program converts to standardized scores. Finally, the MCA program calculates the average score for each option against all criteria, and uses this score to rank the options from best (highest score) to worst (lowest score).

52.   Other MCA advantages over CBA or CEA include the wide range of selection criteria that can be covered by MCA as this method can quantify both variables and parameters as well as those that are not easy or are too costly to quantify. Criteria can be objective such as costs of reforestation or subjective such as the likelihood that one option will increase household incomes of the target community more than another. The NAPA team can use a method that best suits the objective and can analyse the criteria individually or group them together in a logical manner. The team can also make the characterization of variable trends simple using input from rural communities or more sophisticated using available expertise.

53.   Based on the cost/benefit principle, the NAPA team and stakeholders identify monetary or other benefits of a particular option based on a specific criterion. Examples include number of people likely to be saved, improvement in livelihoods (e.g. by number of people), value of infrastructure protected, relative or percentage increase in incomes, degree of synergy among MEAs, percentage of population aware of climate change or the degree of increase in general awareness or of specific knowledge. These can all be rated on a 0–100 scale and then converted to 0–1 scale. Disadvantages or costs can also be recorded on a 0–100 scale based on degree. Monetary disadvantages may include the capital and/ or running costs of the intervention, while qualitative

non-monetary ones may include the degree of difficulty in raising awareness of a climate issue, achieving synergy across MEAs, instituting policy reform, reorganizing agencies, or avoiding occurrence of disease. A technique called inverse scoring is then used to convert the disadvantages into the general direction that the advantages are measured – thus a level of difficulty of 100 is converted to 0, and vice versa.

54.   Some options can then be eliminated from the ranking, and the remaining best options can be run through MCA iteration. At this stage other criteria may be introduced, for example, to ensure conformity to national goals or urgency and immediacy of the climate change adaptations. A new ranking is generated, potentially among the top five or 10 ranking options. This may be repeated by omitting different options and criteria to see if outcomes change, and if so, by how much. Options that are consistently high may then be selected.

55.   Another set of iteration may be run using weights for the criteria (calculated by multiplying the standardized score by the standardized weight for each criterion and option). This would change MCA outcomes. Several weights can be attempted to test how outcomes change, using the best expertise available to the NAPA team undertaking the MCA analysis. A sensitivity analysis can then be conducted to test the extent to which rankings of options change by modifying parameters (options, rankings, weights) of each MCA classification. It is therefore important that the NAPA team conducting the MCA contains the richest pool of expertise on the key sectors and vulnerable groups represented in the preliminary list of options, and that team members adopt an open mind to ensure that the process is as objective as possible.

56.   The LEG NAPA workshops reports[15] are a useful resource for using MCA and include worked examples and potential outcomes.

[14] Annotated guidelines for the preparation of National Adaptation Programmes of Action, LEG, UNFCCC July 2002.

[15] <http://www.unitar.org/ccp/napaworkshops/>.

2.8.   STEP 8: DEVELOP NAPA PROJECT PROFILES

57.   The original guidelines for NAPA preparation[16] map to the previous guidelines for project development that were in use by the GEF at the time, which used to follow a project development format (PDF) and had three stages, the PDF-A, PDF-B then the full-size project document. This was superseded by the new system based on a project identification form (PIF), followed by a project preparation grant (PPG), then the full-size project document.

58.   Most NAPAs would have followed the original guidelines and would have presented project profiles with information that would facilitate the development of a PDF-A proposal to the GEF.

59.   When the GEF updated its procedures and adopted the PIF/PPG and the full-size project documents, projects that had been approved under the PDF-A model were discontinued and had to be re-submitted using the new forms. Besides the delays caused by this switch and the need to re-submit project documents, this change has not been reflected in the formulation of the project profiles by LDC NAPA teams. This mismatch leads to delays in completion of PIFs and PPGs, since some specific details that are required are not readily available.

60.   Another source of confusion is the debate on whether adaptation activities are best implemented as projects or as part of programmes. While the concept of a programmatic approach for adaptation is still being defined, there is little room for confusion about what LDCs were expected to include in the NAPA projects, since this is the current format for funding of activities under the GEF and the LDCF. Many LDCs defined the list of priority activities and projects in their NAPAs to be a programme that address their urgent and immediate needs, and so, an argument can be made about the NAPAs taking on a programmatic approach if the whole NAPA is implemented. In reality, a programmatic approach in adaptation is likely to add value to the process of developing the plans, where activities are fully considered in the context of comprehensive sectoral plans and how funding is delivered to countries, and at the end of the day, activities would still need to be packaged into projects for implementation. The argument on programmatic approach versus project-based approach is an element of medium and longer-term adaptation planning and requires further exploration.

61.   The project profiles in NAPAs indicate approximate costs for the stated priority activities. The estimate of these costs by NAPA teams is one area that has no guidance, and in many cases, amounts shown are not comparable to costs for similar activities and projects being implemented under the GEF. In some cases, NAPA teams tried to scale down their total costs to closely match what was expected to be available to each LDC during the first round of projects (3 – 4 million USD based on available funding in the LDCF).

62.   Converting the prioritized or ranked activities into project concepts or profiles for the final NAPA document is an area on which most LDCs expressed a need for technical assistance.[17] One of the possible tools for helping in the development and organization of project profiles is the careful and flexible use of the strategic results framework (logical framework) method, focusing as much as possible on the process and opportunities for dialogue and negotiation that this tool provides as on the tabular output. The strategic results framework is a useful project development/planning, implementation and monitoring/evaluation tool that organizes project profile information hierarchically under project objectives, specific objectives or project purpose, expected results (and indicators), and activities.

63.   By breaking the adaptation options down into outcomes and specific activities, for instance, it is easy to determine whether they are directly linked to national climate change impacts that are immediate and urgent – a common problem in completed NAPAs. The dialogue opportunity presented by the strategic results framework process can thus be used to revise or refine the adaptation option or send it back to the ranking/prioritization process. The refinement would include identifying indicators that more directly relate activity results to particular climate change- or variability-driven impacts.

64.   The strategic results framework approach also has the advantage of making the costing of project profiles easier because a completed strategic results framework will have a list of activities for each expected output that can be costed separately and the total cost calculated. NAPA teams and government agencies already have considerable experience in costing or budgeting their activities. Another advantage is that the strategic results framework is a commonly used tool in many LDCs and the NAPA team will have no difficulty identifying team members familiar with the system.

2.9.   STEP 9: SUBMISSION OF NAPA

65.   When the NAPA is near completion, NAPA teams are encouraged to submit their final draft to the LEG for comments. Many LDCs have used this opportunity to improve the presentation of their NAPAs, and to get further advise on how to complete particular steps. Many of the comments provided by the LEG have tended to focus on the design and presentation of project profiles, an implementation strategy and on ensuring completeness of the NAPAs.

66.   The final stage in the preparation phase is for the NAPA to be endorsed by national policy makers. The nature of this endorsement is totally country-driven, and in some cases this has been done at the Parliamentary level, or through the focal point minister responsible for climate change issues. Once this formal endorsement has taken place, the NAPA is then formally submitted to the UNFCCC Secretariat, with a copy to the GEF and/or the GEF agency that supported the NAPA preparation. Once the NAPA is received by the secretariat, it is logged, acknowledged, and published immediately on the UNFCCC website (specially at <http://www.unfccc.int/4585>). Once this formal step is completed, the LDC Party becomes eligible to submit proposals to the GEF under the LDCF for implementation.

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[16] Decision 28/CP.7.

[17] FCCC/SBI/2007/32.

III. SUMMARY OF EXPERIENCES, LESSONS LEARNED AND BEST PRACTICES FROM LDC NAPA TEAMS

67.   A synthesis of concerns, experiences and lessons of LDC Parties in NAPA preparation and implementation was conducted through NAPA training workshops, NAPA documents, initial national communications, the LEG, GEF agencies, UNITAR and other sources.

68.   A summary of the needs and concerns expressed by parties during the stocktaking meeting on NAPAs held in September 2007 and through LEG surveys, is provided in TABLE III-3. A wide range of difficulties arise from incipient stages, NAPA completion and implementation, and challenges in supporting and maintaining momentum during the NAPA process. They mainly relate to availability of resources (capacity, methods and tools) that would have enabled faster completion of the NAPAs. There are also methodological issues relating to collaboration with GEF agencies and expedited access to funding.

69.   Aside from the difficulties, a number of lessons and best practices have been identified in the NAPA process. Foremost is the level of in-country grassroots to policy-making capacity and awareness brought about by the NAPA process, ownership of the NAPA resulting from stakeholder engagement, and the level of appreciation for the international community to support adaptation. TABLE III-4 gives a summary of the lessons learned and best practices.

Table III-3.   **Needs and concerns arising from NAPA preparation and implementation process**

NAPA Step	Area of concern	Needs and concerns	Potential improvements
1. General aspects	The NAPA process cycle	Delays mainly caused by: • Complicated and differing procedures for writing proposals and accessing funds • Administrative procedures and slow disbursement of funds • Lack of adequate capacity among implementing agencies and national teams for NAPA implementation • Lack of timely feedback from agencies	LEG to continue to invite GEF and its implementing agencies to work together to: • Minimize the time taken in reviewing and approving proposals, and financing • Harmonize and simplify procedures regarding NAPA preparation and implementation • Raise awareness for NAPAs at the local levels • Strengthen national institutions to ensure early delivery of NAPAs • Establish a feedback mechanism for all stakeholders to monitor the status of projects
2. Build NAPA team and multidisciplinary teams	Setting up competent, effective, and lasting NAPA team and multidisciplinary teams	• High staff turnover in key positions • Limited number of national climate change experts, more so in the small island LDC • Low level of motivation of national teams to produce quality reports • Lengthy searches for technical experts with comprehensive understanding of climate change adaptation and the local context in targeted sectors	• Enhance national and institutional capacity to implement adaptation • Encourage countries to make use of pre-existing committees on climate change and other environment related areas such as biodiversity and desertification, as well as national communications • Encourage and assist NAPA teams to identify champions for adaptation in finance and planning ministries, parliaments, media and other relevant institutions
3. Synthesize available climate and related information	Data accessibility, collection, assessment, management and dissemination	• Unavailability of sources and types of relevant information beyond meteorological data • Capture of undocumented information and indigenous knowledge at regional/national and local levels • Collection of information on root-cause analysis, identification of adaptation options from key vulnerabilities; • Lack of capacity to access and/or make use of vulnerability assessment tools	• Encourage parties to use available data sources and methods and tools for vulnerability assessment and adaptation (e.g. national studies by NGOs, CBOs, <http://www.napa-pana.org>) • Explore traditionally undocumented information, including indigenous knowledge

Table III-3.   **Needs and concerns arising from NAPA preparation and implementation process** (continued)

NAPA Step	Area of concern	Needs and concerns	Potential improvements
4. Conduct participatory vulnerability assessment	Identification of vulnerable sectors from vulnerability assessments	• Clear analytically-based distinction between climate change or variability driven impacts and non-climate based impacts • Tools for conducting participatory vulnerability assessment: – Capturing indigenous adaptation knowledge – Identifying vulnerable social groups (not just livelihoods) • Assessing vulnerability, and identifying the root causes of vulnerability and activities to address them	• NAPA projects would benefit from clearer links drawn between the climate change risks and the activities proposed • Simplification of systems to warn of hazards such as heavy rainfall and cyclones that may lead to disasters in areas with vulnerable populations
5. Consult stakeholders and public	Effectiveness of stakeholder participation	• Enhancing bottom-up grassroots participation in NAPA process, capturing: – Grassroots representation – Indigenous knowledge on climate adaptation – Special needs of small island developing States LDCs • Tempering expectations generated by consultations	• Grounding NAPAs within an overarching participatory process that includes existing indigenous knowledge and adaptation strategies
6. Identify potential NAPA activities	Identification of key climate change adaptation measures	• Potential processes and tools for linking climate change risks and vulnerabilities to activities proposed in projects • Distinction of climate change induced problems from 'business as usual' ones	• Capture activities that address both key vulnerabilities and increased opportunities for income generation
7. Prioritize criteria and screen activities	Development or identification of nationally appropriate criteria for ranking projects/activities	• Conducting periodic review of risks and tools used in the ranking and prioritization of projects	• LEG, in collaboration with organizations and stakeholders, to provide further guidance and technical support to LDC Parties on transforming NAPA project profiles into detailed projects and develop NAPA implementation strategies
8. Develop NAPA project profiles	Development of appropriate and strong NAPA project profiles	• Weak integration of multi-sector activities • Failure of profiles to focus on specific geographic areas of vulnerability • Limited guidance on the aggregate number of priorities • Focus on idealistic interventions rather than realistic urgent and immediate needs which are often not taken into account • Costing and budgeting in NAPA project profiles	• Build capacity and provide support for designing adaptation projects

Table III-3.   **Needs and concerns arising from NAPA preparation and implementation process** (continued)

NAPA Step	Area of concern	Needs and concerns	Potential improvements
9. Implement NAPA projects	NAPA implementation: project design, development and identification of funding	• Difficulties in moving from NAPAs to the project identification form • Some LDCs have been informed that some of the projects may not be funded • Transforming NAPA project profiles into detailed projects: – Implementation strategy for NAPAs – Aligning information in project profiles with new LDCF requirements for GEF project identification forms and project preparation grants – Clustering NAPA projects (e.g. by sector, objective, inputs) for LDCF or other funding – Using the logframe method for designing projects • Identifying suitable new funding partners (e.g. partners in government, civil society and the private sector) • Evaluating GEF agencies and selecting the most appropriate one for national needs	• NAPA projects are eligible for funding by virtue of their prioritization • GEF agencies to provide early feedback on funding so that NAPA teams may seek funding from other sources that may not specifically target adaptation but may cover NAPA projects with a strong development component • LEG, in collaboration with organizations and stakeholders, to provide further guidance and technical support to LDC Parties on transforming NAPA project profiles into detailed projects and develop NAPA implementation strategies • Explore options of multi-sectoral activities
10. Crosscutting	Integration of NAPAs into national policies and sustainable development planning	• Aligning adaptation projects with national development priorities and goals • Integrating climate change risks and adaptation measures into development projects and activities • Building capacity for continuity of work on NAPAs; • Integrating information contained in NAPAs into national communications	• LEG and stakeholder agencies to support LDCs in integrating climate change adaptation related activities into national sustainable development planning processes and building capacity to ensure continuity of work on NAPAs

Sources: FCCC/SBI/2007/32; FCCC/SBI/2007/12; National adaptation programmes of action, NAPAs: Selection of examples and exercises drawn from the regional NAPA preparation workshops. <http://www.napa-pana.org>. Final report on NAPA technical workshop for SIDs LDCs. UNITAR, April 2007. Lessons learned in preparing national adaptation programmes of action in Eastern and Southern Africa. Balgis Osman-Elasha & Thomas Downing. ECBI Policy Analysis Report, 2007, <http://www.eurocapacity.org>.
Abbreviations: NAPA = national adaptation programmes of action; LEG = Least developed countries expert group; GEF = Global Environment Facility; LDC = least developed country, NGO = non-governmental organization; CBO = community-based organizations.

Table III-4.　　　　　**Lessons learned and best practices arising from NAPA preparation and implementation**

NAPA Step	Area of concern	Needs and concerns
1. General aspects	• While NAPAs are limited to LDCs, their success has potential for other countries in the future, hence their preparation and implementation constitute an important learning process for the UNFCCC process	• LDC should continue to base their work on adaptation on the lessons and best practices from the NAPA process
2. Build NAPA team and multidisciplinary teams	• The NAPA process has played a crucial role in elevating the level of awareness and creating buy-in and ownership of climate change issues among various stakeholders	• NAPAs should be maintained as part of ongoing processes and activities in adapting to climate change

3. Synthesize available climate and related information	• Policy makers have acknowledged that local communities have a significant amount of indigenous knowledge of;
	  – local climate histories,
	  – environment-climate interactions,
	  – mechanisms for coping with climate-related disasters
	  – potential actions that could promote adaptation
		• NAPA teams must determine which types of indigenous knowledge provide reliable information, as much of it is anecdotal and difficult to analyse rigorously
		• There may be language barriers between NAPA teams and people in local communities, presenting another challenge to fully understanding how indigenous knowledge is developed

4. Conduct participatory vulnerability assessment	• Countries incorporated vulnerability assessment from existing studies as well as direct information from the communities. This ensures that proposed measures will address the problems as coming from the communities	• NAPAs to continue to use bottom up approaches, engaging grassroots level communities in the identification and design of urgent and immediate adaptation activities.
5. Consult stakeholders and public	• The NAPA process has given rise to institutional strengthening at the national levels and has improved the ability of LDCs to respond to adaptation concerns in general • Direct involvement of national stakeholders in NAPA preparation and implementation contributes to a country driven approach	• Parties are encouraged to retain these best practices to ensure success of the NAPA process and adaptation in LDCs
6. Identify potential NAPA activities	• Most of the identified priority activities are on food security, terrestial ecosystems, water resources and coastal and marine ecosystems.	• NAPAs address urgent and immediate needs in key vulnerable areas that are similar to those in the IPCC fourth assessment report.

Table III-4.   **Lessons learned and best practices arising from NAPA preparation and implementation** (continued)

NAPA Step	Area of concern	Needs and concerns
7. Prioritize criteria and screen activities	• Most LDCs used a combination of simple multi-criteria software programs and consultations for ranking potential NAPA activities	• Combination of different criteria improves objective identification of priority activities and should be explored as much as is possible
8. Develop NAPA project profiles	• Submitted NAPAs incorporate a consultative, participatory approach, and are integrated with national planning and development frameworks • Submitted NAPAs effectively incorporated national vulnerability assessments and responses	• NAPAs are an important tool that should also be used in the national development processes for planning purposes.
9. Implement NAPA projects	• Majority of proposed NAPA projects are in the areas of agriculture, forestry and fisheries, followed by water resources and disaster risk reduction activities related to extreme events	• NAPAs bring means of coping with the immediate adverse effects of climate change and hence focus on reducing vulnerability and lowering future adaptation costs
10. Cross cutting	• The NAPA process has provided an entry point for climate change considerations into planning processes in many countries • In some countries, NAPA has attained high political recognition and support, including that of local communities and stakeholders	• Provision of further support for integrating climate change into national sustainable development planning and capacity building to ensure continuity of work on NAPAs • Implementation of NAPAs to be intensified so that its role in the national planning process is strengthened • Further work is needed on integration of information contained in NAPAs into national communications

Abbreviations: NAPA = national adaptation programmes of action; LDC = least developed countries; IPCC = Intergovernmental Panel on Climate Change;
UNFCCC = United Nations Framework Convention on Climate Change.

IV. DESIGNING IMPLEMENTATION STRATEGIES FOR THE NAPAS

70.   NAPAs are the first major step in implementing adaptation measures among the LDCs.[18] The NAPA preparation process has been valuable in highlighting and increasing awareness and mainstreaming climate change in national development. Even more importantly, it has instigated appreciation for international support for adaptation activities. The NAPA process can be an essential tool for periodic (e.g. every 5 years) and continuous monitoring and evaluation procedures and processes that would feed into further adaptation activities and projects.

71.   Providing additional support to LDCs is necessary to consolidate and build on the gains made through the NAPA process with real action on the ground. The primary source for financing implementation of NAPAs is the LDCF as defined in decision 3/CP.11. The criteria for LDCF project review includes the need for country ownership, eligibility by being an LDC Party and completing the NAPA, country-drivenness as defined in NAPA guidelines, project design components, sustainability, stakeholder involvement, financial plan and cost-effectiveness (including co-financing), institutional coordination and support to minimize potential duplication of efforts, and detailed monitoring and evaluation (annual, mid-term and final reports) that includes indicators.

72.   The strategic results framework approach is useful to structure and organize project design, monitoring and evaluation. A considerable amount of guidance for GEF/LDCF project preparation, presentation and evaluation and the provision of the expected structure and content is available at the GEF website.[19] Forms needed for government endorsement and approvals, and generic information on the GEF project cycles and various grants, programming papers, and special reports are also available.

73.   Key issues expressed as concerns among the LDC countries in the NAPA process include the selection of the most appropriate GEF agency(ies) and development of projects using GEF guidelines.

74.   The LEG prepared a technical paper in 2005,[20] to assist LDC Parties in designing implementation strategies for their NAPA. There are many approaches to implementing NAPAs, and given the limited funding in the LDCF, LDCs have been restricted to accessing project funding up to 3.5 million USD per country to ensure equitable access to funds for implementation to all LDCs immediately upon completion of the NAPA. The following are some observations on implementation of NAPAs:

(a)   It is the responsibility of the country to request a GEF agency to assist it in preparing a proposal for submission to the GEF. This endorsement of the GEF agency is done through a formal letter from the government, usually from the UNFCCC or GEF focal point;

(b)   Once an agency receives the formal request, it is then able to prepare and submit a PIF/PPG to the GEF for consideration. While it is the primary responsibility of the GEF agency to submit the PIF to the GEF, the agency will work with the country NAPA team and the focal point to complete the project documents;

(c)   The choice of what project or projects from the NAPA would be implemented by the first proposal to the GEF rests with the country, in close collaboration with the implementing agency to ensure complimentarity with national plans as well as the mission of the agency in the country. In many cases, countries combine several NAPA priority activities to formulate one project;

(d)   Many LDC Parties have found it useful to organize donor roundtables at the national level, to solicit interest from bilateral donors and other interested groups in supporting the implementation of particular NAPA activities. These roundtables have sometimes been organized before the NAPAs are completed, to best align projects with available funding;

(e)   A few countries have not sought individual project funding from the LDCF to implement their NAPAs, but have instead taken a broader view of implementing all the priority activities identified in the NAPA in an integrated programmatic approach. In such cases, the goal is to use LDCF funding to pilot a broad approach to adaptation that looks beyond one adverse effect to looking at all adaptation needs for a selected target group or region;

(f)   Many models for implementing projects have been proposed, and countries are exploring approaches that best suit their circumstances. For example, a small grants model has been proposed to support activities at the community level, while larger projects, co-funded with the LDCF contribution, have been used by others. The flexibility for each country implementation to choose the best approach for their situation has been key to success.

(g)   While the procedures for pursuing funding under the LDCF after completion of the NAPAs are fairly straightforward, the process to access this funding has been difficult for many countries, according to feedback from LDC Parties. Many concerns have been expressed on the requirements for project proposals, such as the elaboration of the additional adaptation components of proposed projects, and the long delays in accessing funding to start implementation of projects on the ground. These and many other issues have been voiced at meetings such as a stocktaking meeting on NAPA implementation that took place in September 2007, and during sessions of the Subsidiary Bodies for Implementation and Conference of the Parties. The LEG, working closely with the GEF and its agencies, is working on several efforts to improve access by LDC Parties to the LDCF, such as through a *Step-by-step guide for the implementation of national adaptation programmes of action* (to be published in June 2009), and to be followed by regional training workshops on the development of project proposals for implementation of NAPAs, as part of the LEG work programme for 2008 – 2010.[21]

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[18] FCCC/TP/2005/5.

[19] <http://www.gefweb.org>.

[20] FCCC/TP/2005/5.

[21] FCCC/SBI/2008/6.

V. REVISING THE NAPA PROJECTS AND PROFILES

75.   The main steps in developing a NAPA as given in the LEG *annotated guidelines for NAPA preparation* include a step to periodically review risks and prioritization of activities. Given the passage of time since the first NAPAs were completed, the LEG has identified the following reasons for revising of the NAPA projects and profiles, including, inter alia,

(a)   Some of the stated priority NAPA activities would have been implemented under bilateral or other sources of funding and technical cooperation, given their urgent nature, requiring a revision of the priorities for which funding would be sought under the LDCF Fund;

(b)   In cases where only brief information was provided on costs and details for implementation, an LDC Party may decide to provide updated cost information and/or additional project profile information;

(c)   In some cases, new risks and vulnerabilities would have become evident, and so the urgent and immediate priorities in the NAPA would need to be updated, especially in those cases where the NAPA would have been completed a year or more ago;

(d)   The need to incorporate lessons learned in the implementation of NAPAs by other LDCs in the design of an implementation strategy for the NAPA;

(e)   The need to address new information requirements to satisfy new project development guidelines, such as information required under the current and new guidelines for project development (using the project identification form versus the previous project development fund window that was being applied when some of the earlier NAPAs were prepared);

(f)   The need to provide simple updates to the NAPA, such as details on revised costing of project activities, taking into account new information. Information that would facilitate preparation of PIFs for implementation could also be added. Some may also choose to elaborate on how a major project activity would be integrated into sector-wide plans.

76.   The LEG proposes the following process and simple steps to be used by LDC Parties as may be desired, in revising previously submitted NAPAs:

(a)   *Review the NAPA and identify need and starting point for the NAPA update:* LDC Parties to review the NAPA using a country-driven approach and assess whether a revision is warranted, and if yes, then to identify an entry or starting point for the process of revising their NAPA;

(b)   *Re-convene a multi-stakeholder steering group to develop revisions:* It is likely that most countries would re-convene the NAPA steering committee to assemble updated information on risks and status of implementation of existing NAPA priorities, then would go through a process of re-ranking the priorities and coming up with a new list of priority activities, and revised project profiles as appropriate. The NAPA team would prepare an implementation strategy.

(c)   *Endorsement of the NAPA and submission of the revisions to the secretariat:* Once the necessary revisions have been prepared, it will be necessary for a formal submission to be endorsed by the relevant authorities at the national level, such as the national climate change coordination committee, and then the revision would be submitted to the secretariat by the UNFCCC focal point, clearly indicating the nature of the revisions in the submittal letter. The submittal letter plus the document with the revisions, would thus become an addendum to the NAPA;

(d)   *Post-processing of the revised NAPA projects and profiles:* Upon receipt, the secretariat would update the records on the web and would inform the GEF and its agencies. The secretariat would then update the online database of NAPA projects, reflecting those activities and projects that have been retired or revised. A database of NAPA activities under implementation through the LDCF and other sources would also be used to verify the NAPA updates in cases where some activities are retired due to past implementation.

VI. CONCLUDING REMARKS

77.   The NAPA process should remain and continue to be an integral process in enhancing adaptive capacity of LDCs to the adverse effects of climate change. It has been a vital process for generating overall awareness at the country and international levels, including that of relevant organizations and stakeholders on the immediate challenges faced by LDCs due to climate change.

78.   Designing an effective implementation strategy for the NAPA requires innovation and flexibility in how projects are funded through the GEF, and has the potential to break new ground in the practice of adaptation.

79.   Revisions to the NAPAs will ensure incorporation of the latest available information, wider participation and increased buy-in and ownership of communities, policy makers and stakeholders. This will also ensure that LDCs benefit from the experiences of other countries, in-depth reviews and further exchange of experiences and lessons learned through exchanges at regional and sub-regional workshops.

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