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Matters relating to the least developed countries

Information paper on the NAP Expo and the regional training workshops on national adaptation plans: experiences, good practices and lessons learned in addressing adaptation in the least developed countries

Note by the secretariat

Summary

This document synthesizes experiences, good practices and lessons learned in adaptation presented and discussed at regional training workshops on national adaptation plans (NAPs) held between November 2014 and October 2015 and at the NAP Expo held in April 2015. At these events, participants, nominated by their governments, shared their countries' experiences on their work on NAPs and detailed their plans to undertake the process to formulate and implement NAPs. This document is based on materials used in the training workshops and information shared by the workshop participants.

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Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction	1–2	3
A. Mandate	1	3
B. Scope of the note	2	3
II. Organization of the events	3–14	3
A. NAP Expo	3–6	3
B. Regional training workshops	7–14	4
III. Topics covered at the events	15–30	5
A. NAP Expo	15–17	5
B. Regional training workshops	18–30	8
IV. Summary of experiences, good practices and lessons learned	31–53	16
A. Element A: Laying the groundwork and addressing gaps	31–39	16
B. Element B: Preparatory elements	40–46	19
C. Element C: Implementation strategies	47–51	19
D. Element D: Reporting, monitoring and review	52–53	20
V. Feedback from the regional training workshops and ideas for future training	54–60	20
VI. Emerging needs for technical support	61	22
VII. Concluding remarks	62–65	23

I. Introduction

A. Mandate

1. The Subsidiary Body for Implementation requested the Least Developed Countries Expert Group (LEG), with the assistance of the secretariat, to prepare an information paper on the NAP Expo 2015 and the regional training workshops on national adaptation plans (NAPs) conducted by the LEG in 2014 and 2015, with a view to capturing experiences, good practices and lessons learned in addressing adaptation in the least developed countries (LDCs), for consideration at the forty-third session of the Subsidiary Body for Implementation.¹

B. Scope of the note

2. This document provides information on the approach taken for the organization of the NAP Expo and the regional training workshops, as well as the dates, locations and participants of these events. Drawing on the presentations by experts and discussions among participants on the process to formulate and implement NAPs, it provides summaries of: key topics; experiences, good practices and lessons learned; and emerging gaps and needs for technical support and training.

II. Organization of the events

A. NAP Expo

3. The NAP Expo 2015 took place on 14 and 15 April 2015 in Bonn, Germany. It was organized by the LEG, supported by the secretariat.

4. The event was attended by more than 160 participants of different backgrounds from: LDCs; developing countries that are not LDCs; the LEG; the Adaptation Committee; the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention; United Nations organizations and specialized agencies; the National Adaptation Plan Global Support Programme (NAP-GSP); bilateral and multilateral agencies; regional centres and networks; non-governmental organizations; and research institutions. Individual experts also participated, including lead authors of various chapters of the Fifth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC).

5. The event was organized with parallel sessions spread over two days, and in an interactive format, with a view to engaging participants in discussion and to maximizing the exchange of information and sharing of experiences. The first day was co-organized with partner organizations and covered various themes relevant to the process to formulate and implement NAPs. The sessions were conducted in various formats, such as short clinics, panel discussions and training. The second day of the NAP Expo was organized to provide an opportunity for countries to showcase their experiences in undertaking various elements and steps of the process.

¹ FCCC/SBI/2015/10, paragraph 62.

6. As with other LEG events, an advisory committee was constituted for the organization of the NAP Expo. Committee members were representatives of a wide range of the organizations referred to in paragraph 4 above.

B. Regional training workshops

7. The LEG conducted six regional training workshops on NAPs as part of its work programme for 2014–2015.² The LEG targeted all LDCs as well as some developing countries that are not LDCs in the various regions in order to promote synergy and South–South cooperation. Table 1 provides a summary of the workshop dates, locations and participant numbers.

Table 1

Regional training workshops on national adaptation plans conducted by the Least Developed Countries Expert Group in 2014–2015

<i>Regional and other coverage</i>	<i>Date</i>	<i>Location</i>	<i>Number of participants^a</i>	<i>Further information</i>
Pacific LDCs	3–7 November 2014	Port Vila, Vanuatu	44 (12)	< http://unfccc.int/8608 >
Eastern and Southern African LDCs	23–27 February 2015	Livingstone, Zambia	81 (19)	< http://unfccc.int/8846 >
Northern and Western African anglophone LDCs	27–31 July 2015	Cairo, Egypt	42 (10)	< http://unfccc.int/9065 >
Asian developing countries	10–14 August 2015	Yangon, Myanmar	76 (27)	< http://unfccc.int/9066 >
African lusophone LDCs, and island States	7–11 September 2015	Antananarivo, Madagascar	39 (15)	< http://unfccc.int/9093 >
Francophone LDCs	28 September to 2 October 2015	Niamey, Niger	64 (12)	< http://unfccc.int/9094 >

Abbreviation: LDCs = least developed countries.

^a The figures in parentheses indicate the number of female participants.

8. The workshops were designed for national experts. Participants were invited from:
- The ministry, department or agency responsible for the coordination of the process to formulate and implement NAPs;
 - The national planning or finance ministry, department or agency responsible for climate change adaptation;

² See annex I to document FCCC/SBI/2014/4.

(c) Technical experts involved in national assessments under the process to formulate and implement NAPs (e.g. climate change risk assessments, vulnerability and adaptation assessments, modelling, and appraisal of adaptation) were also invited.

9. Participants were from ministries, departments and units under agriculture, climate change adaptation, development planning, disaster management, energy, the environment, finance, foreign affairs, gender, land management, meteorology, tourism and water management, and from academic institutions.

10. The workshops were held over five days. Various approaches were used to conduct them, including lecture-style sessions, group exercises and presentations of country case studies. A half-day field trip was included to allow participants to see adaptation projects in the area at first hand. The field trip also provided an opportunity for workshop participants to exchange experiences and discuss potential climate change adaptation solutions with local communities.

11. The topics covered in each workshop were tailored to key regional issues. Major topics covered in the regional training workshops as a whole are discussed in chapter III.B below.

12. In organizing the workshops, the LEG mobilized a wide range of organizations through an advisory group, which was convened for every workshop. The Adaptation Committee, Global Environment Facility (GEF) and its agencies, the Green Climate Fund (GCF) and the NAP-GSP were members of the advisory group for all six workshops, while other organizations were chosen on the basis of their ongoing work in each region.

13. The advisory group acted as a resource on topics where expertise existed, and contributed the following before the workshops:

(a) Input on data, methods, tools, examples and case studies to be integrated into the training;

(b) Existing material on the topics to be covered at the workshop, for use in design of the training materials;

(c) Upon request by the LEG, input on the overall approach for the workshop, as well as programme and other documents related to its design.

14. In addition to serving on the advisory group for all the workshops, the NAP-GSP co-organized the workshop for the Pacific as part of its planned activities.³

III. Topics covered at the events

A. NAP Expo

1. Objectives of the NAP Expo

15. The objectives of the NAP Expo 2015 were to provide a forum and platform for:

(a) Focused interaction on aspects of the process to formulate and implement NAPs through special sessions and training opportunities;

(b) Exchange of information among countries on their adaptation planning activities;

³ <<http://www.undp-alm.org/projects/naps-ldcs/meetings-and-workshops>>.

- (c) Sharing of technical knowledge on adaptation assessment and programme design;
- (d) Exchange of best practices on approaches to address common vulnerabilities and climate change risks;
- (e) Interaction between LDCs and those countries providing technical and financial support.

2. Themes and key messages of the NAP Expo

16. The keynote topic for the NAP Expo was flood risks in a changing climate. Case studies conducted in several delta cities, Rotterdam, the Netherlands; New York, the United States of America; São Paulo, Brazil; and Jakarta, Indonesia, were presented. The case studies showed the vulnerabilities and risks of these cities to inundation resulting from climate change. Adaptation measures under way in these cities were also presented.

17. Participants of the NAP Expo deliberated in breakout groups and prepared key messages for each topic. These key messages, as presented in the report on the 27th meeting of the LEG,⁴ are:

- (a) “Integration of adaptation into development planning processes:
 - (i) Integration is a process in itself and happens over several years – it is not a prerequisite for formulating and implementing adaptation plans; rather, it is an important early activity;
 - (ii) Institutional arrangements for integration are best motivated and guided by needs for monitoring and reporting at the national level. For example, the need to monitor and review climate change funding can motivate the creation of budget codes for climate change;
 - (iii) Country ownership at all levels and high-level commitment and political will is very important. Commitment needs to be over the long term to ensure continuity beyond political mandates;
 - (iv) Programmatic approaches provide an opportunity to address adaptation through a multi-sectoral, multiple-scale approach, with a longer time frame and potential for resource optimization;
 - (v) Planning in an integrated manner is a useful basis for long-term planning and requires the inputs and participation of diverse experts and stakeholders, and may involve major changes in systems and infrastructure;
 - (vi) Financial needs assessment at various stages of the process to formulate and implement NAPs could help to identify relevant sources of funding (including the private sector) and the mobilization of resources;
- (b) “Supporting an integrated approach for the process to formulate and implement NAPs:
 - (i) A group of organizations and agencies together with the LEG discussed how to best encourage coherence in the technical aspects of the NAPs through integrated approaches across the various dimensions (sectors, scales, themes), recognizing that NAPs are inherently cross-sectoral;
 - (ii) Participants agreed to establish a NAP technical working group to explore possible avenues for the integrated approaches for the formulation and

⁴ FCCC/SBI/2015/7, paragraph 47.

implementation of NAPs, including through working on country case studies. The NAP technical working group decided to start its work by the consideration of an integrating framework for the preparatory element of the process to formulate and implement NAPs;

- (c) “Ecosystem-based approaches:
- (i) When undertaking ecosystem-based approaches to climate change adaptation, it is important to take into account non-climate pressures on ecosystems;
- (ii) An ecosystem-based approach is an approach within an overall adaptation strategy and it is important to assess all the options, including through cost–benefit analyses;
- (d) “Monitoring and evaluation:
- (i) There is a difference between the monitoring and evaluation (M&E) of the process and M&E of adaptation;
- (ii) When developing a national adaptation M&E system, the first step should be to define the purpose of M&E, identify the users and define how the system can facilitate learning;
- (iii) National adaptation M&E systems need to be tailored to the national context and linked to existing data and monitoring systems. Learning from other countries’ examples is very useful;
- (e) “Regional approaches:
- (i) Enhanced and more formal collaboration between the LEG and regional centres and networks would ensure better coverage of regional issues and promote South–South collaboration between the LDCs and non-LDCs, creating a good platform for the LDCs to share their experience on national adaptation programmes of action (NAPAs) with non-LDCs;
- (ii) Regional centres and networks are useful platforms for creating adaptation communities of practice such as for regional programmes, technical assessments and support to regional policies;
- (iii) The regional level is another important scale for exploring adaptation options (policies, programmes and activities), in addition to the national and subnational levels;
- (f) “Six dimensions of successful adaptation:⁵
- (i) Success depends in part on how adaptation is interpreted;
- (ii) Success tends to be more difficult to define than failure;
- (iii) There is no final success as adaptation is an evolutionary process; instead, it may be easier to define progress;
- (iv) Six key dimensions of successful adaptation are:
- Process – assessment and planning process;
 - Decision-making – choose good options and make the right decision;
 - Implementation – successfully implement specific adaptation;

⁵ From a keynote presentation by Ms. Susanne Moser, available at <<http://napexpo.org/2015/?session=session-viii-plenary>>.

- Outcome – good adaptation outcome, avoid maladaptation;
- Capacity – establish enabling conditions;
- Overcome barriers – identify and develop effective strategies to overcome barriers.”

B. Regional training workshops

1. Objectives of the regional training workshops

18. The regional training workshops emphasized preparatory elements of the process to formulate and implement NAPs (element B), building on the previous workshops, which primarily focused on element A – laying the groundwork and addressing gaps. The workshops were designed to achieve the following objectives:

- (a) Provide technical guidance to countries in addressing the objectives of the process to formulate and implement NAPs;
- (b) Provide technical support in selected methodologies and tools relevant to the process to formulate and implement NAPs based on the “UNFCCC technical guidelines for the national adaptation plan process” (hereinafter referred to as the UNFCCC technical guidelines for the NAP process);⁶
- (c) Enhance understanding of procedures for accessing financial support through existing funding mechanisms such as the GCF and the GEF;
- (d) Provide a platform for countries to share experiences and lessons learned and promote good practices in adaptation planning;
- (e) Promote collaboration at the regional level and integrated approaches that address local to regional as well as short to medium- and long-term approaches to adaptation action.

19. The broad design and format of the workshops was flexible enough to respond to the capacity needs of each region, and to immediately incorporate lessons learned from completed workshops. In order to customize the workshops, regional organizations working with the countries were consulted to identify existing capacities of the target countries in undertaking the process to formulate and implement NAPs.

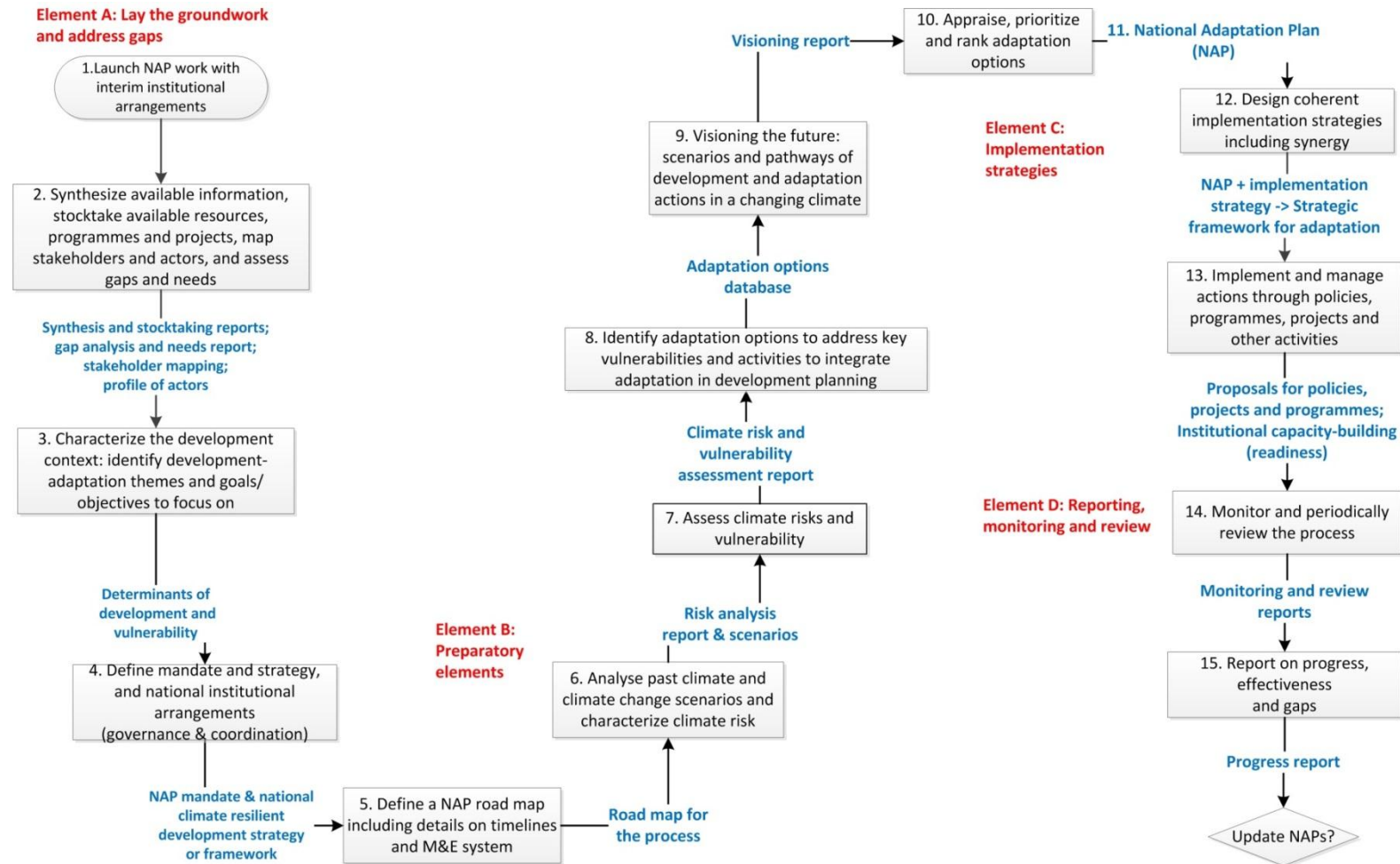
2. Sample process to formulate and implement a national adaptation plan

20. As part of its technical support of and guidance for the process to formulate and implement NAPs, over the past three years, the LEG has developed a sample process to formulate and implement a NAP and refined it with inputs from experts and participants of regional training workshops and related events. The sample process to formulate and implement a NAP shows one version of how the main activities could be carried out, and the outputs of each step (figure 1). The diagram shows a logical flow of activities from the launch of the process to compilation of the NAP and subsequent implementation and reporting on progress. In practice, many activities would run in parallel, building on relevant past and ongoing activities, taking into account the modus operandi of each country, and, where relevant, aligning with timetables of national planning milestones. Examples of such milestones include regular reporting deadlines, opportunities for support (e.g. deadlines for submission of proposals for funding) and schedules for related national planning processes.

⁶ Available at <<http://unfccc.int/7279>>.

21. The sample process to formulate and implement a NAP was used to guide the design and flow of the workshops. Initially, introductory materials on the process were used to develop a common understanding and to raise awareness of the opportunities and benefits of undertaking the process. This activity was followed by breakout groups for the main steps of the sample process, to mimic how a real process could be executed. Where possible, participants used a target country to carry out the exercises, guided by real data for that country and using experts on that country as resource persons. By the end of the workshop, participants learned-by-doing, and produced a unique process along with elements of a sample NAP.

Figure 1
Sample process to formulate and implement a national adaptation plan



Note: Steps and their outputs (in blue) that act as inputs for subsequent steps are shown.
Abbreviations: M&E = monitoring and evaluation, NAP = national adaptation plan.

3. Synthesis of available knowledge and stocktaking of relevant activities

22. As with any activity, an important early step in the process to formulate and implement a NAP is the synthesis of the best available science, of what is known. In the case of adaptation, this information would extend beyond the boundaries of a country in order to benefit from the knowledge and experience of other countries dealing with similar systems and issues. The IPCC assessment reports are an important input for broad trends.

23. A good understanding of ongoing adaptation activities is an asset in subsequent steps to avoid duplication, and to utilize the rich baseline of activities under way in advancing future efforts. As with the synthesis of available information, such stocktaking is likely to be iterative as the process unfolds, to ensure specific activities build on ongoing efforts. The sample process to formulate and implement a NAP provides a useful reference for these activities. It was observed during the workshops that it would be useful to use the sample process to formulate and implement a NAP to guide the synthesis of available information and the stocktake. To this end, country teams were encouraged to utilize their country portals on NAP Central⁷ to manage and archive this information, to facilitate easy editing. Examples of global stocktaking of adaptation efforts, such as the work of the Adaptation Partnership,⁸ were pointed out as useful resources for adaptation projects and policies during the stocktaking.

4. Mapping of stakeholders and actors and design of workstreams

24. Another important early activity of the process to formulate and implement NAPs is to map relevant stakeholders and actors for adaptation actions at the national level. The workshops applied various tools to identify who the stakeholders are, and what their roles would be, to ensure all relevant stakeholders are engaged at the appropriate stages of the process. In addition, actors would also be identified to facilitate the division of work and the flow of information between different workstreams. Given the comprehensive and diverse nature of the process to formulate and implement a NAP, it is not practical or advisable for one institution to undertake all activities. The approach that was advocated during the workshops was for the coordinators of the process to facilitate the identification of the main workstreams, based on the results of stocktaking and the assessment of what needed to be done. Each workstream would then be assigned to a group of actors or institutions to carry out the relevant activities. Figure 2 shows how the activities of the sample process to formulate and implement a NAP could be assigned to groups of actors along workstreams in a country.

25. In some workshops, participants were randomly assigned to each workstream; however, in other workshops participants were assigned to workstreams based on their expertise and in these cases, the results of the breakout groups were more detailed and specific. This task indirectly validated the value of assigning activities with expertise in that area.

26. The main workstreams of the workshops were the following:

(a) **Policy and institutional arrangements**, covering such topics as the development of mandates, definition of adaptation and development priorities, linkage between national planning and budget processes, and development of road maps and plans for monitoring progress and effectiveness of the process;

(b) **A technical group to assess climate vulnerability and risk**, which would produce a comprehensive assessment of climate change vulnerability and risk for key

⁷ <unfccc.int/NAP>.

⁸ <<https://sites.google.com/a/ccrdproject.com/adaptation-partnership2/activities>>.

development aspects and all related systems, and proposals for risk management and adaptation options, using as inputs analyses of climate risk from the workstream referred to in paragraph 27(c) below;

(c) **A technical group on climate risk analysis**, comprising scientists involved in analysing current and past climate, as well as analysing future climate risks under the less than 2 °C global temperature goal, and those involved in provision of climate information and services to various stakeholders;

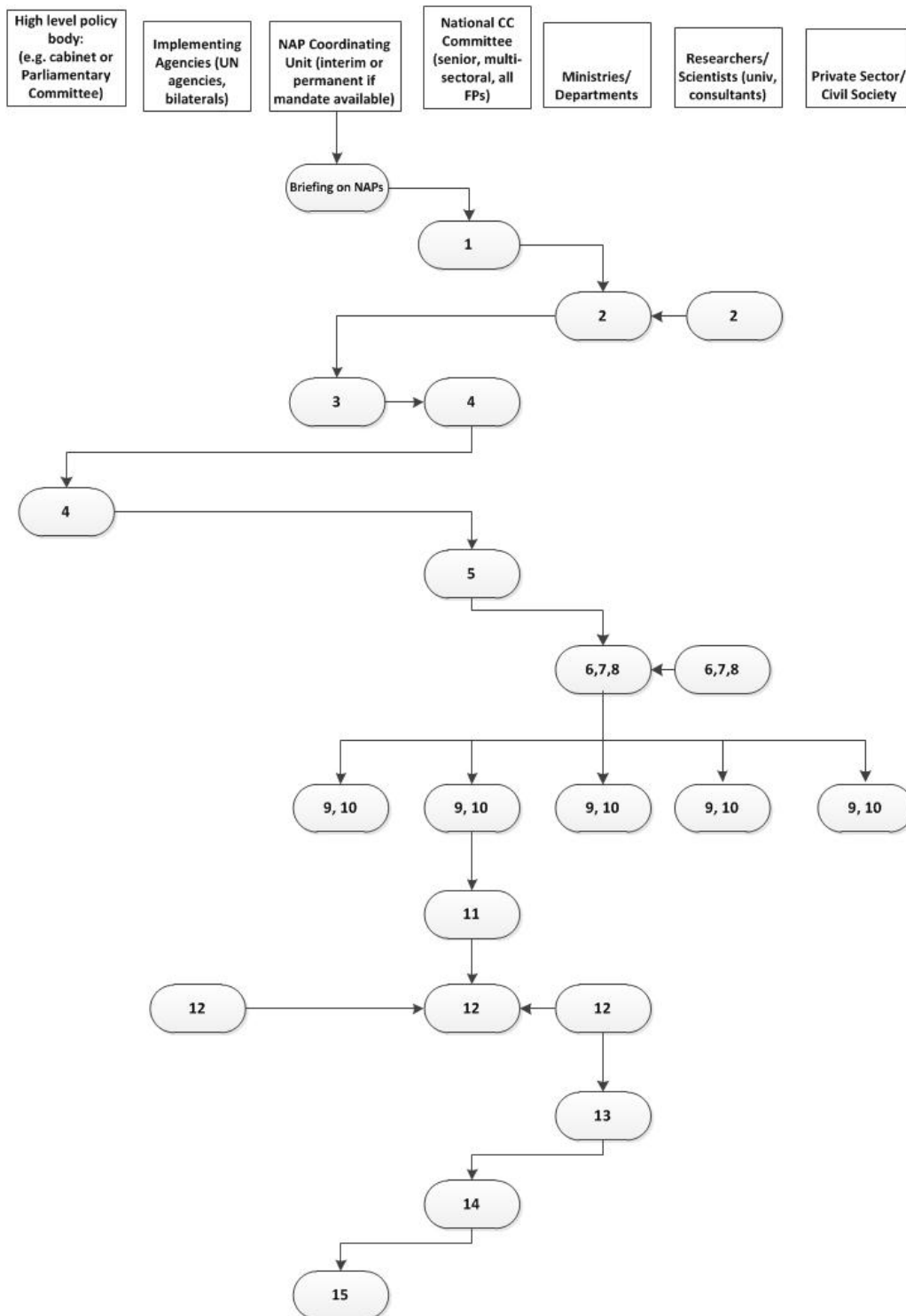
(d) **Project management: planning and implementation strategies**, covering the design of national programmes for adaptation, design of monitoring and evaluation systems, arrangements to build readiness to participate in the GCF, and other operational details of the NAP process;

(e) **Multi-stakeholder and cross-sectoral visioning and appraisal**, to consider and appraise the proposed adaptation options from the assessment group in paragraph 27 (b) above in order to select and rank adaptation options based on agreed criteria. In addition, this group would define a vision for an adapted future to be used in the design of implementation strategies; for example, through backcasting from the vision to create adaptation implementation pathways and show decision points that would be considered over time;

(f) **Multisectoral implementation**, to design implementation strategies aligned to major funding processes such as the GCF, and to coordinate the design and implementation of policies, projects and programmes for funding to implement the NAPs;

(g) **A support group**, to play the role of the technical support unit for the whole process, and to be responsible for: compiling the NAPs for review and public input, and subsequent endorsement by relevant policy processes for national plans for the country; and reporting to national stakeholders and the international community, including the UNFCCC. The support group would also communicate with other workstreams on cross-cutting issues, such as a workstream that would assess capacity gaps and needs, and address these issues through relevant activities and projects.

Figure 2
Flow of activities among actors in a sample process to formulate and implement a national adaptation plan



Note: Actors are listed across the top, while the numbers correspond to the activities in figure 1.
Abbreviations: CC = climate change, FPs = focal points, NAP = national adaptation plan,
 UN = United Nations.

5. A focus on the preparatory elements

27. The LEG has developed an assessment approach that is centred on development: the development-centred assessment of adaptation for NAPs (figure 3). It uses systems approaches to capture relationships between drivers and processes at multiple scales, providing an effective framework to organize and order work to support development efforts. This approach was applied during the training workshops.

28. The development-centred assessment of adaptation for NAPs is designed to organize the assessment of climate risks and vulnerabilities in a comprehensive manner, using the main development process for the country as the entry point. This approach differs from others that start with the science of climate change and the outcomes of climate models, and from purely bottom-up approaches. This proposed approach facilitates the immediate integration of adaptation planning into important national development processes.

6. Survey of outputs and elements of a national adaptation plan

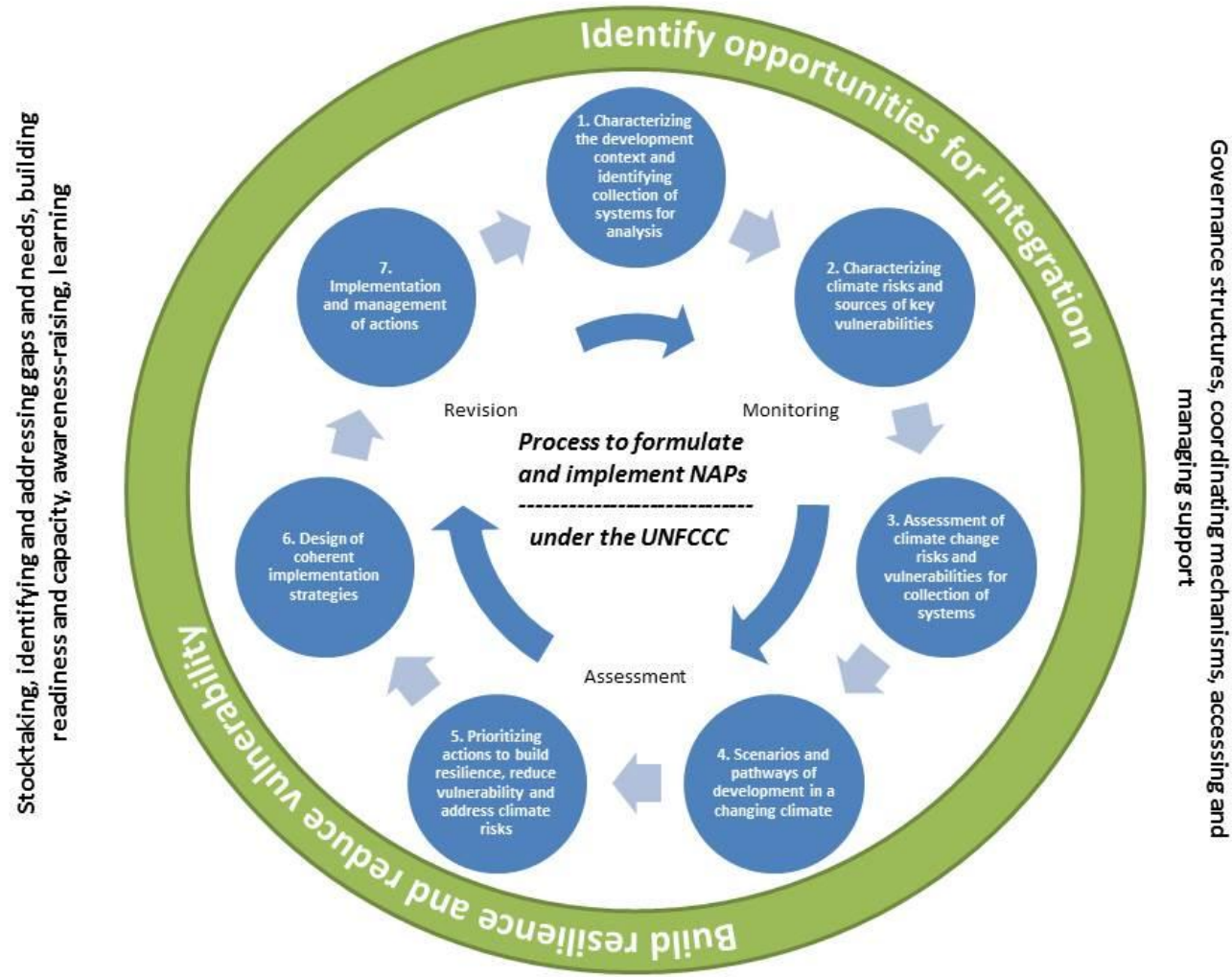
29. In the regional training workshops the participants discussed useful outputs from the process to formulate and implement NAPs. These outputs are reflected in the sample process to formulate and implement a NAP diagram in figure 1.

30. Participants also discussed what should go into the NAP document itself, supported by other outputs that could be referenced or summarized in annexes to that document, while bearing in mind the flexibility countries would have in producing a sequence of outputs over time, such as an initial workplan or road map, followed by a national strategy for adaptation, and finally a national plan with national programmes to implement adaptation. The following elements were suggested for inclusion in the NAP (in addition to an executive summary and relevant annexes):

- (a) Essential background and development context;
- (b) Vision, mission and objectives of the NAP;
- (c) Mandate and institutional arrangements;
- (d) Strategic framework and road map for the NAP process;
- (e) Climate risk analysis;
- (f) Assessment of impacts, risks and vulnerabilities;
- (g) Priority adaptation options;
- (h) Implementation strategy;
- (i) Monitoring and evaluation framework.

Figure 3

Development-centred assessment of adaptation for national adaptation plans used by the Least Developed Countries Expert Group in the regional workshops



Abbreviation: NAPs = national adaptation plans.

IV. Summary of experiences, good practices and lessons learned

A. Element A: Laying the groundwork and addressing gaps

31. A summary of the building blocks or key measures for each element of the NAP process is shown in table 2, grouped by the essential functions of the process. The following is a summary of the main areas of progress and of difficulties expressed by country teams at the NAP Expo and the regional training workshops.

32. Many countries indicated that, as an initial step, an outreach activity with diverse stakeholders not only launches the process formally but also raises the profile and importance of the process and secures buy-in of potential actors from various fields and of differing expertise. Bhutan, Malawi, the United Republic of Tanzania and Tuvalu conducted multi-stakeholder workshops to pave the way for a consultative process and to signal the launch of the process to formulate and implement NAPs in their countries.

33. Initiating work on the process to formulate and implement NAPs sometimes includes preparing concept notes, conducting briefings, endorsing a possible design for launching the process, or submitting a proposal for funding. These activities were reported to be done at the level of the UNFCCC focal point. For example, Nepal has prepared a concept note and conducted briefings. On the other hand, Bangladesh, Chad and Senegal initiated the process through the submission of their proposals for funding to the Least Developed Countries Fund (LDCF).

34. Most participants indicated that their countries have existing regulatory frameworks and structures in place for climate change related policies and activities. While for some countries, such as Benin, it was recognized that a new mandate was necessary to specify explicit authority to advance the process to formulate and implement NAPs, for others, such as the Gambia, Liberia and Somalia, the authority to coordinate the process is derived through the mandates given to their ministries of environment. In contrast, Vanuatu referred to the mandate given to its National Advisory Board as the basis to coordinate both the process to formulate and implement NAPs and the disaster risk reduction and management programmes.

35. Several countries indicated that the institutional arrangements they used to formulate and implement the NAPAs facilitate the initiation and launch of the process to formulate and implement NAPs. For example, Timor-Leste considered its NAPA an entry point for its NAP, while recognizing that the existing NAPA stakeholders and working groups would need to be further strengthened and legalized in order to support medium- and long-term adaptation planning.

36. In terms of synthesizing available information, science and knowledge, stocktaking relevant activities, and assessing gaps and needs, countries start at various levels. Some do these tasks at the national level, making use of information in their existing climate change body, while others conduct stocktaking workshops to ensure that information from various agencies or ministries is captured and included.

37. Countries were able to identify capacity gaps in terms of embarking on the process to formulate and implement NAPs, informed by their experiences of the NAPA as well by conducting needs assessments based on their understanding of the UNFCCC technical guidelines for the NAP process.

38. Many countries indicated they are in the process of developing their road maps for the process to formulate and implement NAPs and that they mostly follow the UNFCCC

technical guidelines for the NAP process. Others have produced road maps and advanced in their formulation activities.

Table 2

Building blocks or key measures for each of the elements of the process to formulate and implement national adaptation plans, grouped by essential function

<i>Elements</i>	<i>Essential functions</i>	<i>Building blocks or key measures</i>
Element A: Laying the groundwork and addressing gaps	Essential Function 1: Helping governments to provide national leadership and coordination of adaptation efforts at all levels and to act as the main interface with regional and international mechanisms	Initiate and launch the process Policies, regulations, legislation and mandate for the process; climate policies Stakeholder consultation and engagement Institutional arrangements, coordination mechanisms (governance structure) Develop road maps for the process Complete road maps
	Essential Function 2: The collection, compilation, processing and dissemination of data, information and knowledge on climate change and relevant development aspects in support of adaptation planning and implementation	Synthesize available information, stocktake relevant activities (science and knowledge)
	Essential Function 3: Identifying and addressing gaps and needs related to capacity for the successful design and implementation of adaptation	Assess gaps and needs Address capacity gaps and needs (capacity development)
	Essential Function 4: Assessing climate–development linkages and needs, and supporting the integration of climate change adaptation into national and subnational development and sectoral planning (through policies, projects and programmes)	Characterize the development context and identify adaptation–development themes
Element B: Preparatory elements	Essential Function 5: Analysing climate data and assessing vulnerabilities to climate change and identifying adaptation options at the sector, subnational, national and other appropriate levels	Analyse past climate and climate change scenarios (science and knowledge) Incorporate activities on integrating adaptation into national and subnational development planning Comprehensively assess climate vulnerability (science and

<i>Elements</i>	<i>Essential functions</i>	<i>Building blocks or key measures</i>
		knowledge)
		Identify adaptation options to address key vulnerabilities
	Essential Function 6: Appraising adaptation options to support decision-making on adaptation investment plans and development planning	Appraise, prioritize and rank adaptation options
Element C: Implementation strategies	Essential Function 7: Promoting and facilitating the prioritization of climate change adaptation in national planning	Prioritize climate change adaptation in national planning Compile draft NAPs for consultation and endorsement Communicate NAPs
	Essential Function 8: Facilitating the implementation of adaptation at all levels through appropriate policies, projects and programmes, taking into account opportunities for synergy	Design coherent implementation strategies, including synergy (finance) Implement and manage actions in NAPs through policies, programmes, projects and other activities (finance)
Element D: Reporting, monitoring and review	Essential Function 9: Facilitating the monitoring, review and updating of adaptation plans over time, to ensure progress and effectiveness of adaptation efforts and to demonstrate how gaps are being addressed	Design and apply a monitoring and evaluation framework or system Monitor and periodically review the process Iteratively update NAPs
	Essential Function 10: Coordinating reporting and outreach on the process to stakeholders nationally, internationally and formally on progress to the Convention	Report on progress, effectiveness and gaps
	Cross-cutting issues	Stakeholder engagement Gender considerations Regional synergy

Abbreviation: NAP = national adaptation plan.

39. Some countries indicated that preliminary activities such as briefing a minister, designing a concept note on the process to formulate and implement NAPs, or meeting initially with potential actors may be funded from national budgets. However, it was also clearly communicated that to be able to fully embark on the NAP process, there is a need to mobilize external financial support.

B. Element B: Preparatory elements

40. Most of the activities under this element were reported to have been initiated under various past or ongoing projects – and in many cases, only targeted a geographic unit, scale or sector within the country – or as part of regional initiatives.

41. Participants indicated that common challenges in undertaking an analysis of past climate and climate change scenarios rest on the lack of historical data and in some cases the difficulty in accessing such data. For example, the data are sometimes archived in more than one ministry, and there are no standard procedures for sharing and accessing the data, even among government units.

42. Risk and vulnerability assessments have been carried out in past efforts, such as for the preparation of national communications; however, many of these assessments are outdated or not sufficiently comprehensive to adequately inform the NAPs.

43. Participants noted that climate scenarios that consider the regional and national impacts of a less than 2°C global temperature goal are not yet available from the IPCC or other sources. The LDCs would not be in a position to mobilize support for such scenarios to be generated for their countries or regions. This is a well-known data gap that would need to be addressed at the appropriate levels.

44. Participants expressed familiarity with some methods used to appraise and rank adaptation options; however, they lacked in-depth and practical experience with such methods when looking at the whole country in a comprehensive manner, as well as when considering multiple time scales.

45. The preparatory elements stage of the process to formulate and implement a NAP has many opportunities for collaboration at the regional level, given the similarities in the technical approaches commonly used, but also given the connectivity through transboundary resources (e.g. shared basins, rivers and wildlife), regional climate forcing processes (e.g. circulation) and more practically, the scientific expertise that exists within a region, with excellent knowledge covering countries in that region. Some analyses, such as the running of regional climate models to generate scenarios, are already carried out at the regional level encompassing several countries, and it makes perfect sense to continue to collaborate in such activities.

46. The adaptation options that are most likely to succeed are those targeted at addressing key vulnerabilities based on assessments. Ideas for interventions that would directly support the development process could be easily generated by using the development-centred assessment of adaptation approach developed by the LEG.

C. Element C: Implementation strategies

47. Many countries have experience in preparing project proposals and implementing various adaptation projects. Participants noted the need to think more strategically and to design overarching programmes for the whole process, covering the medium and long terms, ideally with ongoing support. Specific projects or programmes would then be developed under the overarching one. These specific initiatives could include sector-wide programmes, or projects to address the implementation of a particular adaptation measure for a given place and time.

48. Specific programmes and projects are usually developed with funding targets in mind given the unique format and information requirements of each funding source. All participating countries had experience in submitting proposals to the GEF and the LDCF. Only a handful had started the process of accessing the GCF, and the procedures and

modalities for accessing the GCF were identified by participants to be a high priority for future training efforts by the LEG and others.

49. In order to prioritize climate change adaptation in national planning, some countries have implemented budget codes to track resources for climate activities as part of national budget processes.

50. A few countries have developed climate trust funds to support their early adaptation efforts. These trust funds help to coordinate donor and in-country programmes by creating a single funding basket that ensures coherence and synergy of existing climate change programmes. Such trust funds are usually jointly funded by government and donor contributions. In some cases, the trust fund approach is seen as an initial solution to climate adaptation financing, and should transition to more substantial and more integrated approaches over time.

51. The few countries that had formulated a NAP had not yet started to design programmes for implementation.

D. Element D: Reporting, monitoring and review

52. Limited information was shared on designing a monitoring and evaluation framework for the process to formulate and implement NAPs. Some countries indicated that their existing national monitoring and evaluation systems would be adopted to cover adaptation. A few countries had started to develop indicators for their climate change strategy.

53. Countries that had formulated their NAPs gave a clear indication that their NAPs would be updated after five years in order to consider new issues and development.

V. Feedback from the regional training workshops and ideas for future training

54. The feedback from the regional training workshops was positive and the majority of the participants indicated that the objectives of the training were achieved. The following are general observations from participants:

(a) Participants were enthusiastic about the diagnostic approach of mapping individual components of national development, then exploring how components related to each other;

(b) The interactive work on visioning the process to formulate and implement a NAP was particularly interesting for many participants, and there was a desire to continue and build on the work they did during the workshop in subsequent steps of the national process. It was suggested that a complete case study for a country using this approach would be a useful learning exercise;

(c) Sessions on sharing country experiences – showcasing the process to formulate and implement a NAP, challenges and lessons learned – were found to be useful, and it was suggested that more time could be allocated for these in future workshops. These sessions could also include examples of South–South cooperation, which would promote peer-to-peer learning;

(d) Participants valued the group exercises, especially those that involved working in country teams, as it helped them relate to their national circumstances and situation;

(e) Participants expressed satisfaction with the facilitation of the workshop. Some commented on the value of increasing the role of regional and national experts in the facilitation of these workshops and similar events.

55. Countries use different entry points to the process to formulate and implement a NAP based on their national circumstances. Two main lessons emerged in relation to this fact:

(a) Regardless of entry point, when the development-centred assessment of adaptation approach is applied (see paras. 27 and 28 above) the final results will likely be similar, as such assessments generally involve similar analyses, just with different sequencing. For example, a cross-sectoral approach will eventually focus on individual sectors, and during implementation, will assign responsibilities to individual sectoral ministries. Similarly, a multisectoral approach, if performed well, will have to recognize cross-cutting issues that must be addressed in a cross-sectoral manner, and during implementation, will delegate portions of the work from one sector to others. Ideally, the development-centred assessment of adaptation approach would focus on development themes;⁹ however, to facilitate leadership for a particular theme, many countries would initiate planning from within one ministry;

(b) In many cases, there will be a dominant issue in terms of development and adaptation. For example, for a country in an arid region, the dynamics of water supply through a main river source (usually a single river) would be of prime importance in any adaptation plan, while for a country with unique biological diversity that is of global importance, adaptation and development efforts would need to take this into account. For atoll islands and countries with low-lying coastal areas, climate-related disasters and extremes of storm, sea level rise and coastal flooding would be the main entry points. Other characteristics, as outlined in Article 4, paragraph 8, of the Convention, are also important, such as being land-locked or having a mountainous ecosystem.

56. On the workshop design and the programme, participants had the following observations:

(a) Although countries are familiar with the process to formulate and implement a NAP, it is nevertheless necessary to present a comprehensive overview on the process in order to build a common understanding for all participants of the workshop. In addition, while many resource persons are experts in their fields, they may be unfamiliar with the NAP process under the Convention;

(b) More presentations or sessions and clinics on available tools, products and resources that countries can use for their processes could be added;

(c) Using the essential functions of the process to formulate and implement NAPs (see table 2), was found to be helpful in relating to the expected outcomes of the process in the long term, and provided for flexibility in activities and steps that countries may undertake in order to achieve the intended outcomes of the process;

(d) Additional sessions on development planning would be helpful to reinforce the development-centred assessment of adaptation approach and would provide good background information on the linkage between development and climate change;

(e) Other topics that would be useful to cover in the workshops include support available from sources other than the GEF, the LDCF and the Special Climate Change Fund, such as the GCF, and in particular, information on issues related to institutional

⁹ For example, the 10 adaptation–development themes developed by the LEG in the “UNFCCC step-by-step guide for implementing national adaptation programmes of action”, available at <http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf>.

arrangements and readiness for accessing the GCF, and through bilateral, multilateral and regional programmes;

(f) Presentations on experiences and lessons learned from other major programmes, such as the Pacific Adaptation to Climate Change Programme, the Pilot Program for Climate Resilience and others, were found to be useful and could be broadened to cover other major, relevant programmes;

(g) Presentations on the state of knowledge and practice in dealing with major development and sectoral issues, such as the one on agriculture and food security and nutrition, were found to be very useful, and it was suggested that similar presentations be developed for other major issues and sectors. Such presentations could also cover technical aspects of risk, vulnerability and adaptation assessment by sector.

57. Feedback from resource persons representing regional centres and programmes pointed to the need to do more advance work to better align the workshop programme with existing and past work on adaptation in the region. In the Pacific region, there was great interest in building on the joint national action plan for climate change and disaster risk management (JNAP), because most countries in that region had just produced a JNAP document, and efforts were under way to produce a regional aggregated version under the Pacific Forum. Participants discussed ways in which the outcomes of such efforts (most of which covered the immediate or short terms) could be best integrated into a process to formulate and implement NAPs. It was suggested that comprehensive stocktaking of JNAPs could be a useful early step of the process, and the Secretariat of the Pacific Regional Environment Programme presented such a stocktaking of the JNAPs as a starting point.

58. Given the small number of participants in the regional training workshops, to extend their reach, it was suggested that the rich set of training materials could be packaged into self-paced or guided training courses that could be used at the country level.

59. Many participants expressed their desire to continue with the exercises to elaborate their own national processes, and welcomed continuing advice and support from the LEG and other resource persons and experts. The LEG indicated it will consider how future support could be provided through NAP Central, on a space where countries could work on their NAPs in a collaborative and interactive manner. In addition, the work on sample NAPs by the NAP technical working group¹⁰ could be a means for extending the workshop exercises.

60. Participants noted that future regional training workshops could focus on the next two elements of the process to formulate and implement NAPs: implementation strategies (element C), and reporting, monitoring and review (element D). This is a logical next step given the many capacity gaps expressed with accessing readiness and programme or project funding from the GCF – closely related to the lack of capacity of many LDCs to absorb funding for large projects.

VI. Emerging needs for technical support

61. The following needs for technical support were expressed by participants at the events:

(a) How to communicate the process to formulate and implement NAPs to policymakers and other stakeholders to create buy-in and political support, and ensure adaptation is prioritized in national planning;

¹⁰ FCCC/SBI/2015/7, box 2.

- (b) How to create appropriate legislation to address climate change (including adaptation), especially given limited financial resources;
- (c) How to stocktake information already captured in existing monitoring and evaluation systems in different sectors, and assess the suitability of existing frameworks to monitor progress under the process to formulate and implement NAPs;
- (d) How to develop a common understanding of the process to formulate and implement NAPs among all stakeholders and actors in order to facilitate an effective and coherent approach to adaptation planning and implementation, using decisions of the Conference of the Parties on NAPs¹¹ as a common denominator;
- (e) How to make various international and regional programmes work in support of national efforts on adaptation under the NAP umbrella to avoid conflicting messages and duplication of effort;
- (f) How to enhance access to information on available financing for all aspects of adaptation – readiness, formulation of plans, implementation of adaptation measures – and requirements for access;
- (g) How to tailor support for key regional characteristics and vulnerabilities;
- (h) How to access and use the best available science and knowledge of climate scenarios such as that based on the latest IPCC assessments and guidance, and in such a way as to translate the less than 2°C global temperature goal to regional changes suitable for application at the country level;
- (i) How to apply different vulnerability and risk assessments to different sectors and systems, taking into account important aspects of a country, and aggregate the results so that they can inform good planning at the national level;
- (j) How to move from the assessment of climate vulnerabilities and risk to the identification of effective adaptation solutions and actions;
- (k) How to develop robust programmes, policies and projects that lead to positive outcomes in reducing vulnerability and the integration of climate change in national development planning;
- (l) How to ensure effective engagement with and capacity-building of institutions best suited to collecting information, including non-governmental institutions;
- (m) How to practically link the process to formulate and implement NAPs with low-carbon development strategies, the Sustainable Development Goals, the GCF and other relevant processes.

VII. Concluding remarks

62. The NAP Expo 2015 enabled Parties and the different stakeholders to share detailed practical experiences on activities related to the elements of the process to formulate and implement NAPs, building on previous such events. Important lessons were drawn on the integration of adaptation into development planning and on various approaches to assessments and implementation strategies. The experiences contributed to the knowledge on the process and informed the design of further technical guidance and support to developing countries in undertaking the process.

¹¹ Decisions 1/CP.16, 5/CP.17, 12/CP.18, 18/CP.19 and 3/CP.20.

63. The regional training workshops on NAPs were useful to the countries that participated as well as to the LEG. Country teams greatly improved their understanding of the NAP process and the diversity of resources, technical and financial, available to support their work. They also found the workshops beneficial for the sharing of their national experiences with other countries, which led to South–South learning. For the LEG, it was valuable for the group to interact with country teams and use the knowledge garnered from the workshops to refine its technical advice, including the sample process to formulate and implement a NAP. In addition, the workshops enabled the LEG to identify good practices, which are being communicated through its various outreach products.

64. The countries that hosted a workshop were rewarded with heightened awareness of climate change adaptation at the highest levels of policymaking, and were able to boost their efforts to launch the process to formulate and implement NAPs and make rapid progress. By holding the workshops and its meetings in different locations, the LEG was able to interact with a large number of LDCs at the national level, overcoming the constraint the group faces of not being able to visit individual countries upon request. Over time, the LEG has developed a wide and effective network with country teams and their policymakers, which greatly enhances support of LDCs.

65. The regional training workshops on NAPs conducted by the LEG are not the only training activities on NAPs. The need for better coordination between providers of training on NAPs was pointed out by participants and resource persons, and it was suggested that the LEG could extend its work with training partners by forming a task group on training. Such a group could include all relevant organizations offering training on NAPs and would work towards harmonizing training materials and approaches to ensure that individual efforts complement each other. As a start, the LEG proposed creating a joint calendar on adaptation training activities on NAP Central.
