3. Sample processes to formulate and implement NAPs, lessons from Open NAP case studies

Expert meeting to assess progress made in the process to formulate and implement national adaptation plans (NAPs)

7 to 9 February 2018, Sao Tome, Sao Tome and Principe

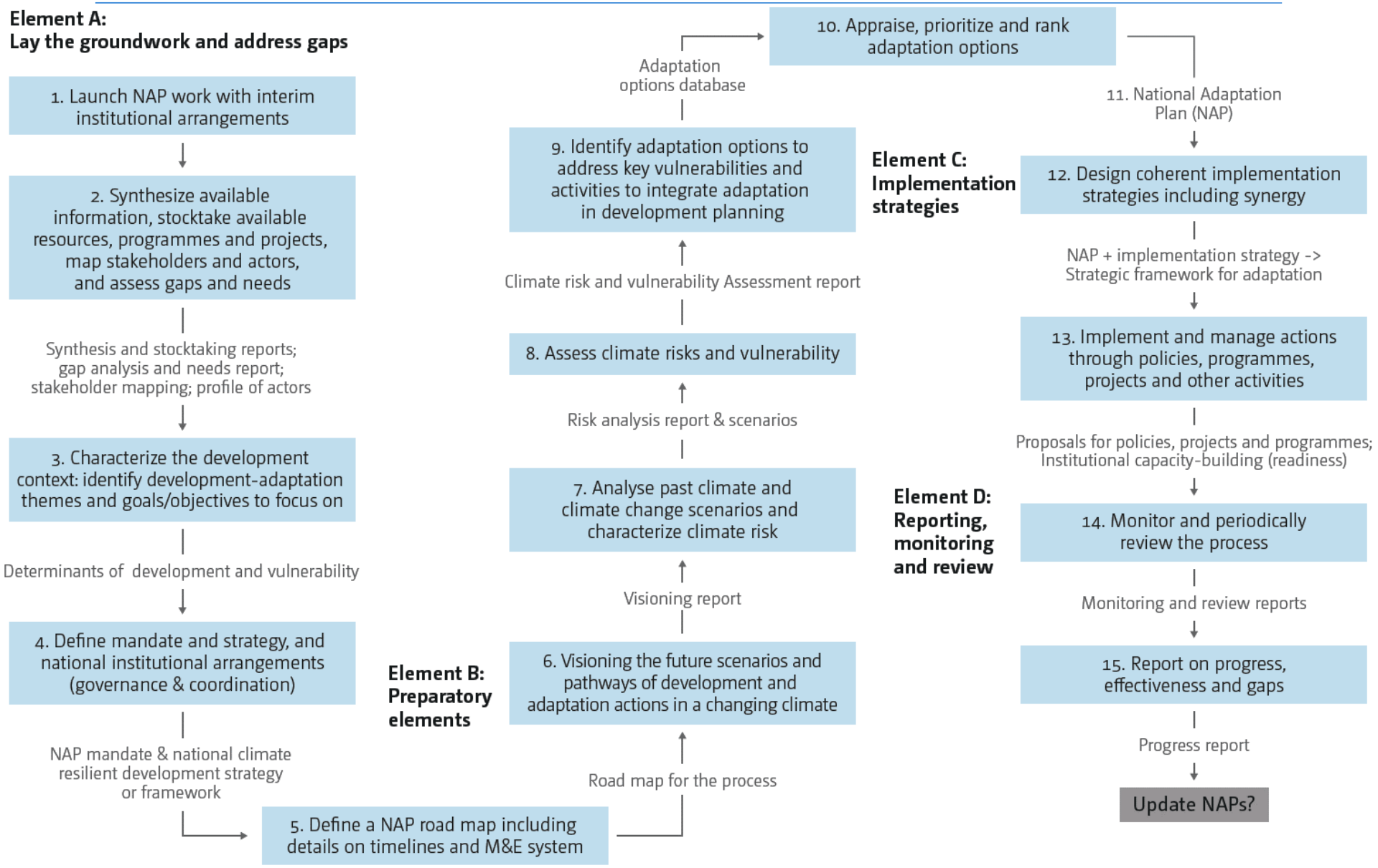
Designing a process

- What is a process? a series of actions or steps taken in order to achieve a particular end

- If we look at the elements and indicative steps from the NAP guidelines, we can construct an indicative flow that would produce a first NAP, and subsequent steps on reporting and review

- The LEG produced the following sample process to show how the steps and their outputs connect and interface with main stakeholders and other relevant processes

Sample process to formulate and implement a National Adaptation Plan



Applying the sample NAP process

- Several outputs are produced, notably a mandate, stocktaking report, roadmap, assessment reports, the NAP, then reports to the Convention, M&E methods and results, etc

- Typical interfaces are with policy makers for the mandate and the road map, and with funding entities with the NAP itself, the report on progress with national communications or adaptation communication, etc

Open NAPs

- What are they? Case studies conducted by the LEG on a country, based on available information, designed to produce a version of a NAP (prototype that could be further expanded)

- The Open NAPs are used to “experiment” with different pathways, and applied during regional training workshops

- The following are some issues that were explored and some lessons learned

Lessons learned from the Open NAPs

1. **Stocktaking is an important first step** that should run through the whole process and create initial entries along the sample process, thereby indicating what is already available, and what the gaps are

2. An important early step is **the creation of a proper mandate** for the formulation and implementation of the NAP – through an appropriate instrument, to provide the “instructions” to all concerned. This also includes making existing relevant mandates visible, if these are sufficient

3. An early challenge faced was how **to choose an entry point**, how to manage multiple entry points? Start with sector, places, or focus on specific climate hazards, or a development theme? In some cases, start with the interests of the key actor?

Managing multiple entry points

Sectors (ministries)

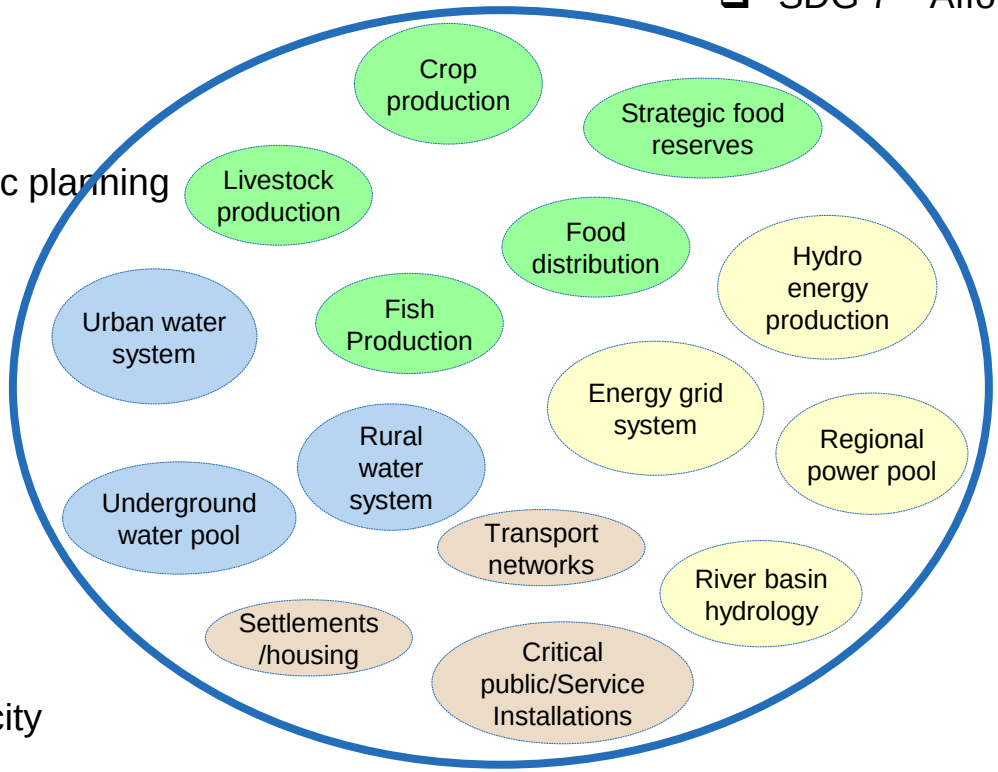
- Agriculture
- Water
- Energy
- Health
- Economic planning
- Etc.

SDGs *

- SDG 1 – No poverty
- SDG 2 – Zero hunger
- SDG 6 – Clean water and sanitation
- SDG 7 – Affordable and clean energy

Climate hazards

- Drought/aridity
- Floods
- Excessive rainfall
- Shifting seasons
- Temperature extremes
- Heat waves
- SLR
- Storms



Actors

- Government agencies
- UN agencies
- Bilateral agencies
- Private sector
- NGOs
- CBOs

Place

- Urban area/city
- National
- Subnational levels
- River basins
- Community

National development themes

- Food security
- Water security
- Energy security
- Livelihoods and employment

Managing multiple entry points: disasters

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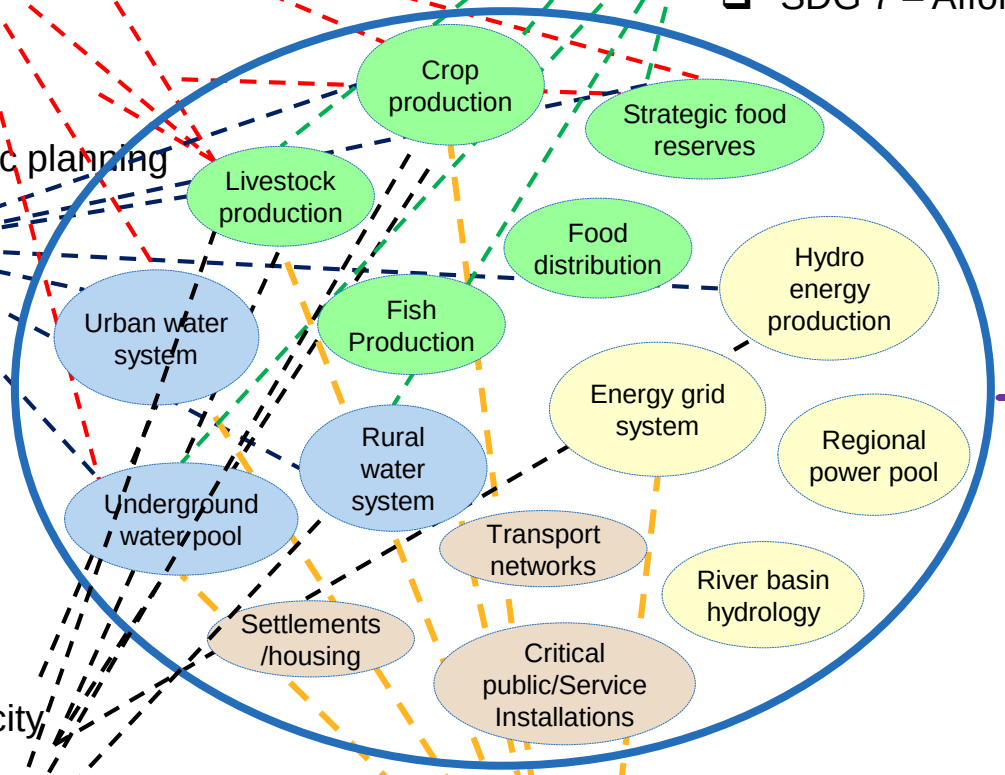

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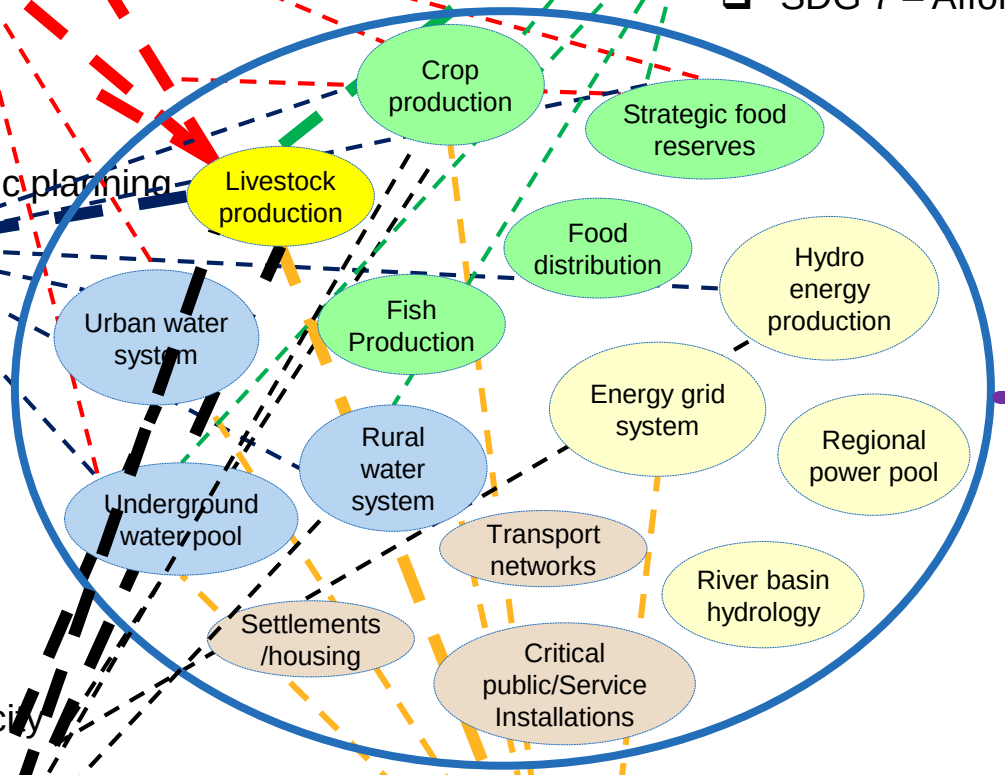

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Lessons learned – on the multiple entry points

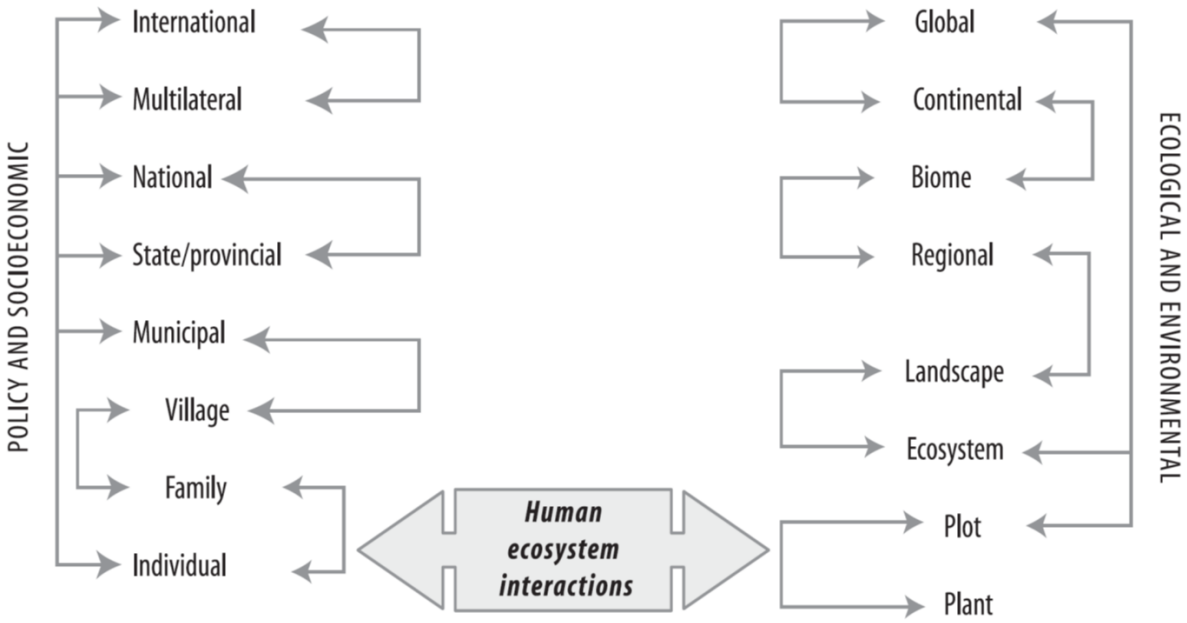
- From these diagrams, it was observed that **by focusing on the systems** in the middle, one can easily map to applicable actors, sectors, climate hazards, development themes, SDGs, etc …
- In principle, the **outcome should be the same, regardless of entry point.**
- It was also observed that it is easiest to **define the systems by starting with the climate hazards** to see what each would influence, then expanding the collection
- The systems can be simple, or compound ones, and are **best informed by science and practice**
- These systems make it **easier** to apply specific methods, and to map to best available knowledge and data, and vulnerability of each system can also be easily monitored

Other lessons learned

1. Size matters – small countries versus large countries. Actions that can be carried out will depend on the level. The levels are connected (vertical integration)

FIGURE 5.3 Overview of Some Commonly Used Institutional Levels and Ecological Scales

Levels are arranged on a shared vertical axis representing spatial extent. The arrows represent key influences. Direct interactions mostly take place at the local scale, but governance occurs at many scales.



Source: Courtesy of Rik Leemans.

Other lessons learned

2) Adaptation can be interpreted as any of the following:

- An **adjustment** (of essentially business as usual activities, e.g. normal development activities)
- A **process** – changing processes to ensure decisions taken are climate-resilient
- An **outcome** – changed state, after ingesting a changed climate, e.g. in ecological systems
- A **transformation** – major change in operations to accommodate climate change including abrupt adjustments

Other lessons learned

3) The process of defining the integrating framework (the circle diagram) can naturally help identify or support the idea of focusing on a major sector or major hazard – however, it will also indicate what other minor sectors, hazards etc should be included

4) The systems can easily be combined into a nexus or other compound arrangement to reflect important interactions that exist

5) In many cases, major adaptation solutions conflict with others, and considering the **trade-offs** can sometimes be difficult from a political point of view, for example see example of Malawi on next slide

Difficult trade-offs in case of Malawi

- In the Malawi Open NAP, the following 3 major programmes are being considered as adaptation efforts there:
  1. Major expansion of irrigation using water from Lake Malawi
  2. Major water 200 km pipeline being constructed to transfer water to Capital City
  3. 98% electricity is generated from Shire River that flows from Lake Malawi
- Lake Malawi levels have dropped lately, due to droughts, cyclic patterns, and the watershed area is severely degraded
- Lake Malawi is also an important center of endemism (unique fisheries – cichlids, etc) and is an important source of fish for food
- Trade-offs then a major technical and political challenge

Other areas for testing with Open NAPs in the future

1. How can the **different technical methods** and advice from different sectors/agencies be usefully combined to support a coherent national process? Is the integrative framework (iFrame) a good starting point?

2. If we focused on a good collection of systems for a country, and use IPCC findings on typical adaptation solutions to common vulnerabilities, **how can we adjust how assessments are made** to be more useful? Are new comprehensive assessments useful?

3. The adaptation solutions span a continuum from coping (e.g. addressing urgent and immediate) to more planned adaptation activities, to contingency measures to cover those risks that can not be addressed. **How best to decide** between planned and contingency measures? (not mechanical, probably an economic/political decision)

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