Appraisal training in UNFCCC & NAP Processes

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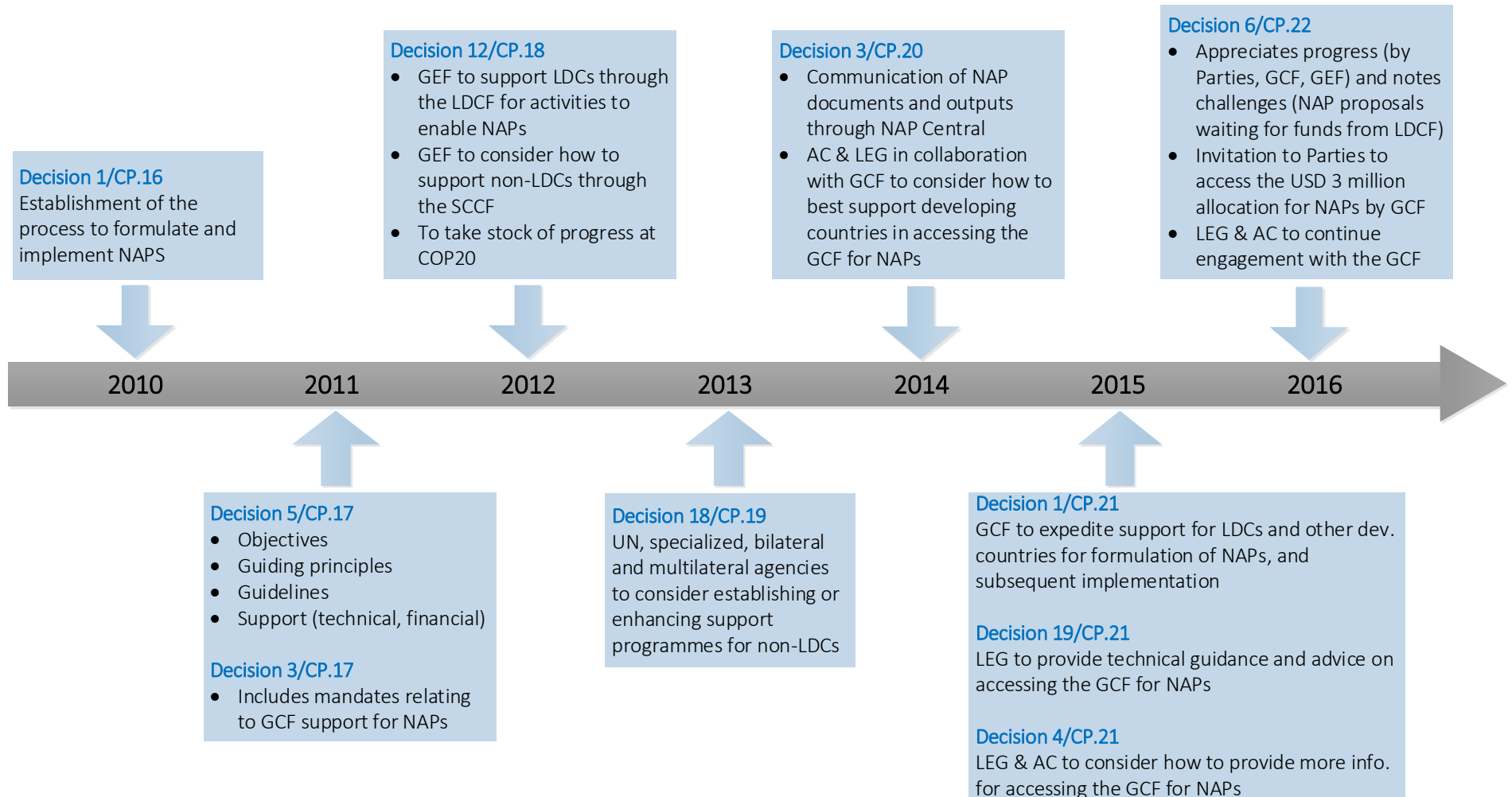United Nations Framework Convention on Climate Change

Overview of the process to formulate and implement NAPs: process, 2 objectives, guidelines, the NAP-SDG iFrame

Appraisal and Prioritization of Options for Adaptation Planning
Pacific Regional Training

28 - 31 May 2018, Nadi, Fiji

Motsomi Maletjane, UNFCCC secretariat

COP decisions on NAPs

Decision 1/CP.16
Establishment of the process to formulate and implement NAPS

Decision 12/CP.18
- GEF to support LDCs through the LDCF for activities to enable NAPs
- GEF to consider how to support non-LDCs through the SCCF
- To take stock of progress at COP20

Decision 3/CP.20
- Communication of NAP documents and outputs through NAP Central
- AC & LEG in collaboration with GCF to consider how to best support developing countries in accessing the GCF for NAPs

Decision 6/CP.22
- Appreciates progress (by Parties, GCF, GEF) and notes challenges (NAP proposals waiting for funds from LDCF)
- Invitation to Parties to access the USD 3 million allocation for NAPs by GCF
- LEG & AC to continue engagement with the GCF

2010   2011   2012   2013   2014   2015   2016

Decision 5/CP.17
- Objectives
- Guiding principles
- Guidelines
- Support (technical, financial)

Decision 3/CP.17
- Includes mandates relating to GCF support for NAPs

Decision 18/CP.19
UN, specialized, bilateral and multilateral agencies to consider establishing or enhancing support programmes for non-LDCs

Decision 1/CP.21
GCF to expedite support for LDCs and other dev. countries for formulation of NAPs, and subsequent implementation

Decision 19/CP.21
LEG to provide technical guidance and advice on accessing the GCF for NAPs

Decision 4/CP.21
LEG & AC to consider how to provide more info. for accessing the GCF for NAPs

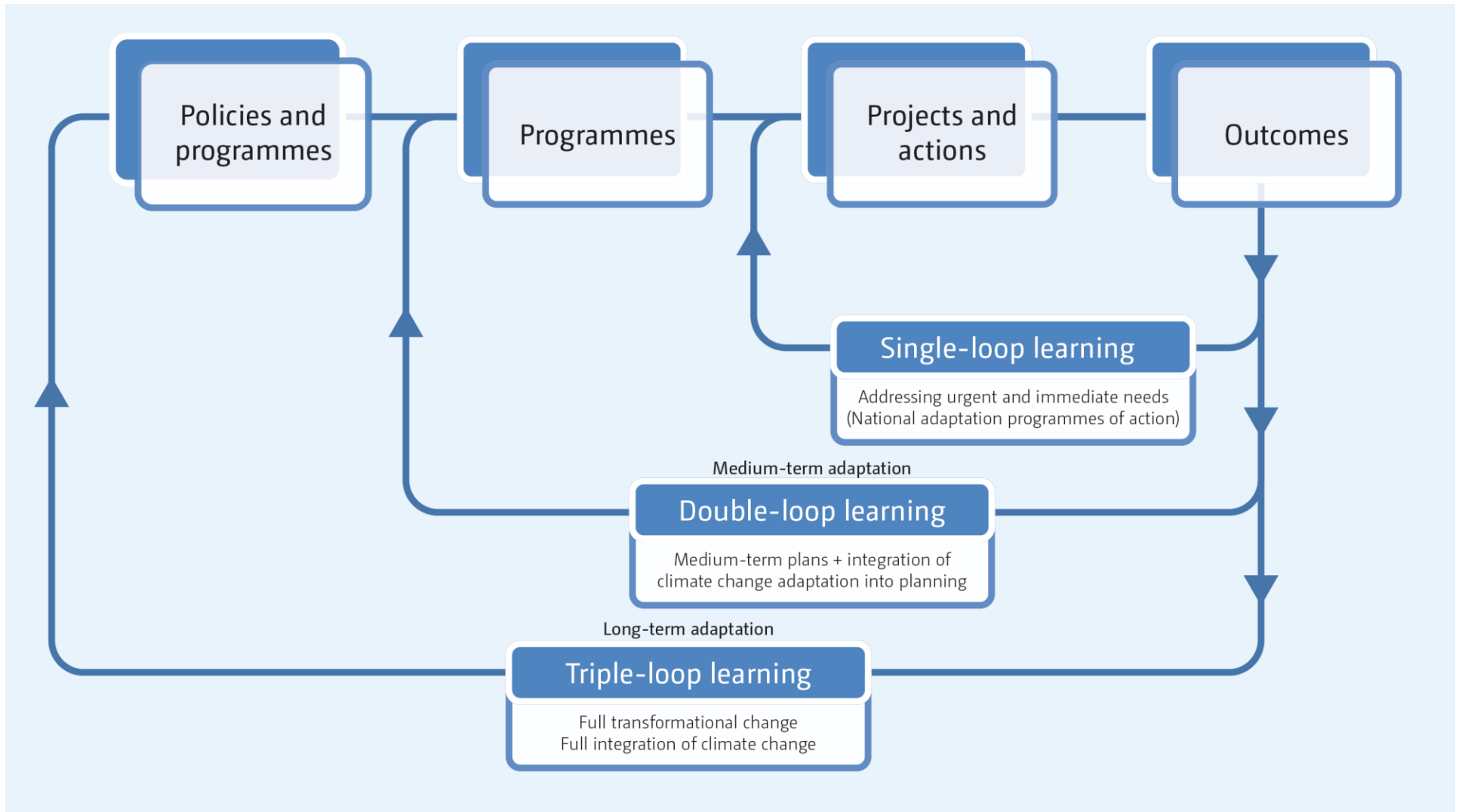❑ **Objectives of the NAP process (decision 5/CP.17) are:**

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

    b) To **facilitate the integration of climate change adaptation**, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

❑ **Global goal on adaptation (Article 7 of the Paris Agreement)**

Enhancing adaptive capacity, strengthening resilience and **reducing vulnerability** to climate change, with a view to contributing to **sustainable development** and ensuring an adequate adaptation response in the context of the **global temperature limit of less than 2°C.**

Learning loops for adaptation (source: LEG BP&LL Vol 3)

Policies and programmes → Programmes → Projects and actions → Outcomes

Single-loop learning
Addressing urgent and immediate needs
(National adaptation programmes of action)

Medium-term adaptation

Double-loop learning
Medium-term plans + integration of climate change adaptation into planning

Long-term adaptation

Triple-loop learning
Full transformational change
Full integration of climate change

Guiding principles for NAPs (decision 5/CP.17)

- ❑ Continuous planning process at the national level with iterative updates and outputs

- ❑ Country-owned, country-driven

- ❑ Not prescriptive, but flexible and based on country needs

- ❑ Building on and not duplicating existing adaptation efforts

- ❑ Participatory and transparent

- ❑ Enhancing coherence of adaptation and development planning

- ❑ Supported by comprehensive monitoring and review

- ❑ Considering vulnerable groups, communities and ecosystems

- ❑ Guided by best available science

- ❑ Taking into consideration traditional and indigenous knowledge
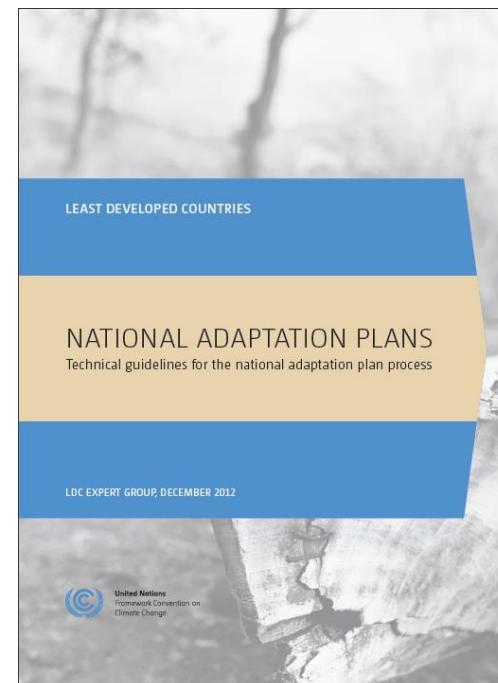
- ❑ Gender-sensitive

The rationale for appraisal should therefore focus on achieving:

❑ The two objectives of the NAP process (decision 5/CP.17

❑ The global goal on adaptation (Article 7 of the Paris Agreement)

❑ The guiding principles for NAPs

☐ **Initial guidelines are contained in decision 5/CP.17, annex**

☐ **Technical guidelines for the NAP process, developed by the LEG in response to decision 5/CP.17 paragraph 15 are available in multiple languages at http://unfccc.int/7279**

☐ **Supplements to the guidelines are available on NAP Central http://www4.unfccc.int/nap/Guidelines/Pages/Supplements.aspx**

LEAST DEVELOPED COUNTRIES

NATIONAL ADAPTATION PLANS
Technical guidelines for the national adaptation plan process

LDC EXPERT GROUP, DECEMBER 2012

United Nations
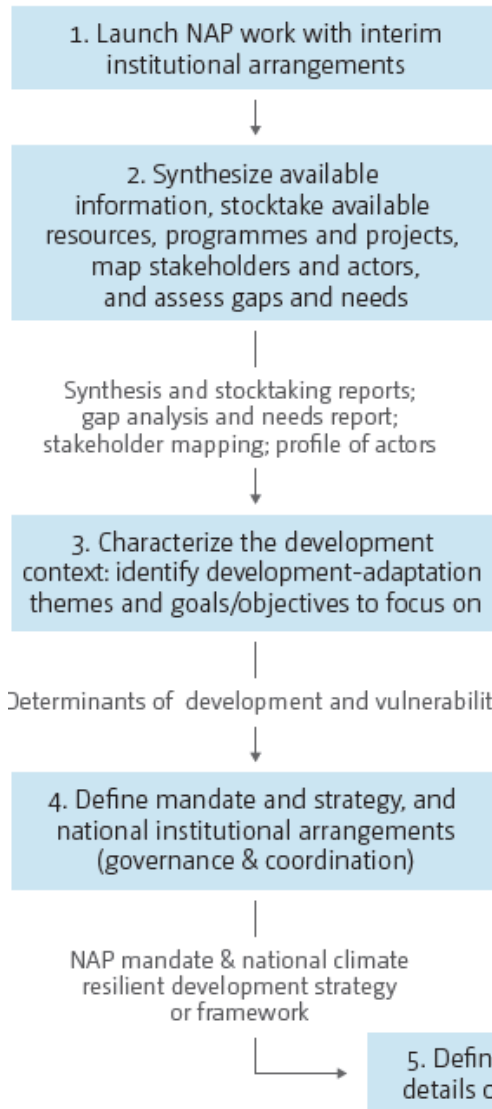Framework Convention on
Climate Change

The guidelines provide the basis for the formulation and implementation of NAPs

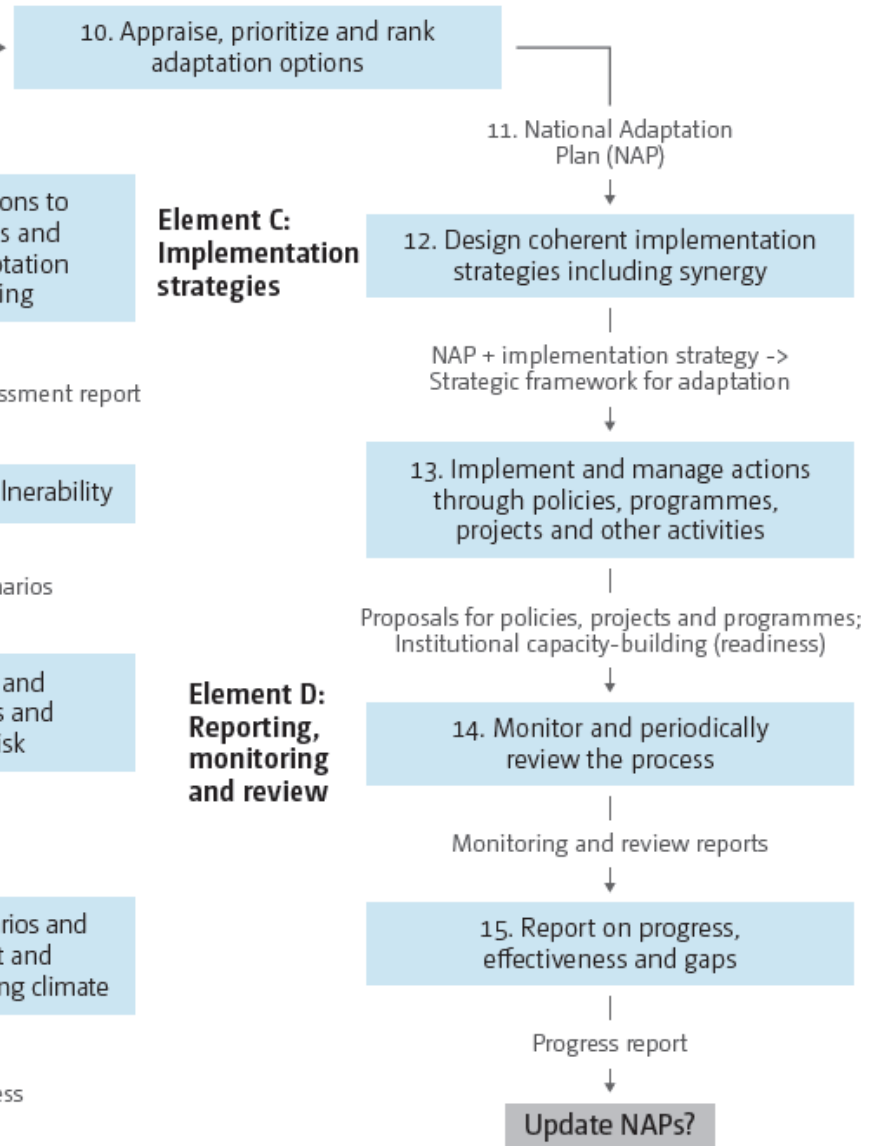# Sample process to formulate and implement a National Adaptation Plan

Element A:
Lay the groundwork and address gaps

1. Launch NAP work with interim institutional arrangements

↓

2. Synthesize available information, stocktake available resources, programmes and projects, map stakeholders and actors, and assess gaps and needs

Synthesis and stocktaking reports; gap analysis and needs report; stakeholder mapping; profile of actors

↓

3. Characterize the development context: identify development-adaptation themes and goals/objectives to focus on

Determinants of development and vulnerability

↓

4. Define mandate and strategy, and national institutional arrangements (governance & coordination)

NAP mandate & national climate resilient development strategy or framework

↓

Element B: Preparatory elements

5. Define a NAP road map including details on timelines and M&E system

Road map for the process

→

6. Visioning the future scenarios and pathways of development and adaptation actions in a changing climate

Visioning report

↑

7. Analyse past climate and climate change scenarios and characterize climate risk

Risk analysis report & scenarios

↑

8. Assess climate risks and vulnerability

Climate risk and vulnerability Assessment report

↑

9. Identify adaptation options to address key vulnerabilities and activities to integrate adaptation in development planning

Adaptation options database

→

10. Appraise, prioritize and rank adaptation options

11. National Adaptation Plan (NAP)

↓

Element C: Implementation strategies

12. Design coherent implementation strategies including synergy

NAP + implementation strategy -> Strategic framework for adaptation

↓

13. Implement and manage actions through policies, programmes, projects and other activities

Proposals for policies, projects and programmes; Institutional capacity-building (readiness)

↓

Element D: Reporting, monitoring and review

14. Monitor and periodically review the process

Monitoring and review reports

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15. Report on progress, effectiveness and gaps

Progress report

↓

Update NAPs?

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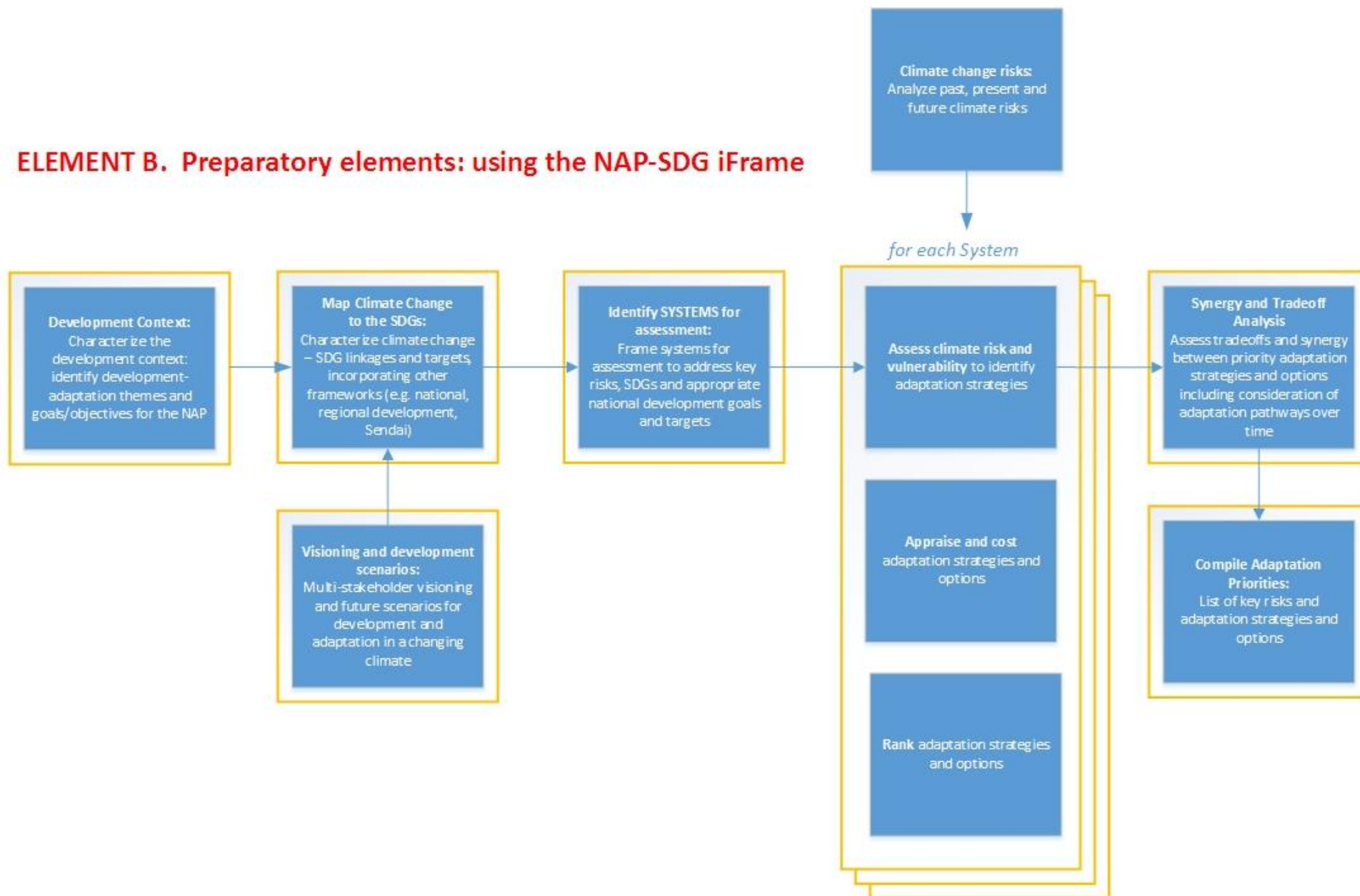Abbreviations: M&E = monitoring and evaluation, NAP = national adaptation plan.

The NAP is the main output of the process, and is designed to be iterative, country-driven, and would provide the substance of the adaptation ambition expressed in the NDCs and Adaptation Communications under the Paris Agreement

Financial support for the formulation of NAPs and implementation of policies, programmes and projects identified therein is well grounded in the GCF

ELEMENT B. Preparatory elements: using the NAP-SDG iFrame

Climate change risks:
Analyze past, present and future climate risks

for each System

Development Context:
Characterize the development context: identify development-adaptation themes and goals/objectives for the NAP

Map Climate Change to the SDGs:
Characterize climate change – SDG linkages and targets, incorporating other frameworks (e.g. national, regional development, Sendai)

Visioning and development scenarios:
Multi-stakeholder visioning and future scenarios for development and adaptation in a changing climate

Identify SYSTEMS for assessment:
Frame systems for assessment to address key risks, SDGs and appropriate national development goals and targets

Assess climate risk and vulnerability to identify adaptation strategies

Appraise and cost adaptation strategies and options

Rank adaptation strategies and options

Synergy and Tradeoff Analysis
Assess tradeoffs and synergy between priority adaptation strategies and options including consideration of adaptation pathways over time

Compile Adaptation Priorities:
List of key risks and adaptation strategies and options

Managing multiple entry points

Sectors (ministries)
- ❑ Agriculture
- ❑ Water
- ❑ Energy
- ❑ Health
- ❑ Economic planning
- ❑ Etc.

Climate hazards
- ❑ SLR
- ❑ Storms
- ❑ Excessive rainfall
- ❑ Drought/aridity
- ❑ Shifting seasons
- ❑ Temperature extremes
- ❑ Heat waves

Place
- ❑ Urban area/city
- ❑ National
- ❑ Subnational levels
- ❑ Community
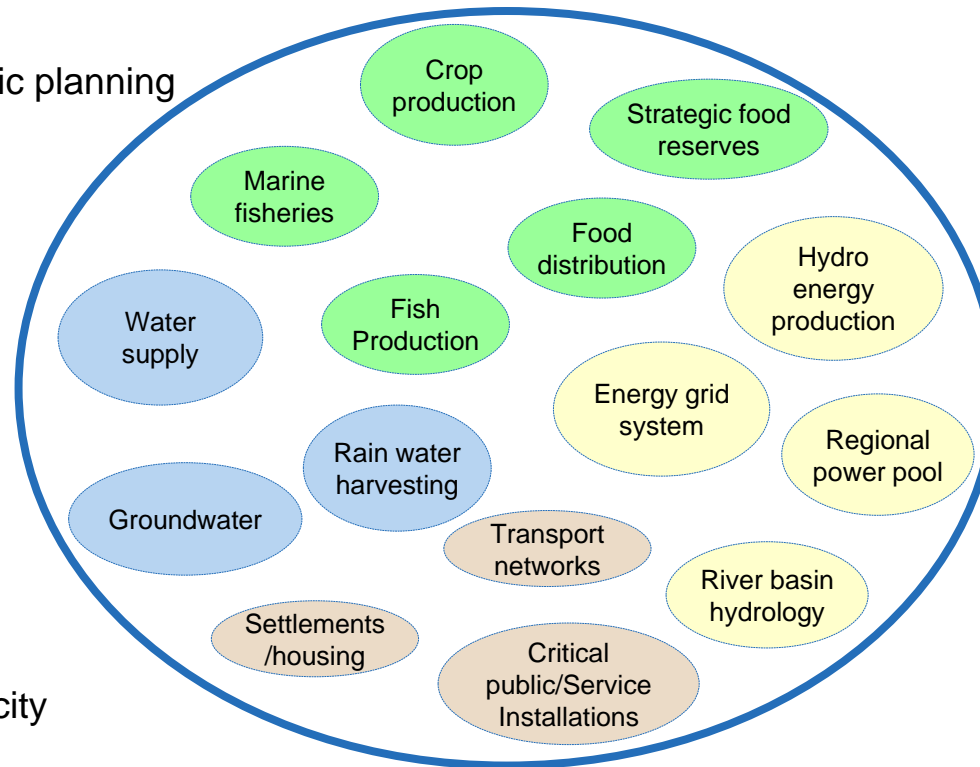
Actors
- ❑ Government agencies
- ❑ UN agencies
- ❑ Bilateral agencies
- ❑ Private sector
- ❑ NGOs
- ❑ CBOs

Crop production

Strategic food reserves

Marine fisheries

Food distribution

Hydro energy production

Water supply

Fish Production

Energy grid system

Regional power pool

Rain water harvesting

Groundwater

Transport networks

River basin hydrology

Settlements /housing

Critical public/Service Installations

National development themes
- ❑ Food security
- ❑ Water security
- ❑ Energy security
- ❑ Livelihoods and employment
- ❑ Health and nutrition, etc.

NAP Expos

❑ Outreach events organized by the LEG, in collaboration with various bodies and organizations, **to promote exchange of experiences and foster partnerships** between a wide range of actors and stakeholders **on how to advance NAPs**

❑ Four global events thus far: in 2013, 2014, 2015, 2016 and 2018

❑ Two regional NAP Expos in 2017: Uganda; and Republic of Korea

Upcoming events

❑ 2019 NAP Expo (global) to take place in the Republic of Korea in April

❑ Regional NAP Expos in conjunction with CBA12 in Malawi, 12 Jun 2018

❑ Open collaboration with the LEG and a wide range of experts and organizations to offer advice and guidance on technical aspects of the formulation and implementation of NAPs

❑ The concept is akin to **crowdsourcing**, mainly to scope and test the best approach depending on specifics and uniqueness of the countries

❑ Each Open case looks at the details of a country and works towards a NAP by working through comment steps, using the best available data and methodologies, in collaboration with experts from the country, designed to produce a prototype NAP that can then be expanded over time

❑ Earlier experimentation within the Open NAP initiative led to the development of the NAP-SDG iFrame, which solves the problem of which entry point to choose

NAP Central (http://unfccc.int/nap)

Highlights

❑ **Main repository** of information pertinent to NAPs

❑ **NAP documents** and other outputs from the countries

❑ **Questionnaire** to submit info for the SBI assessment of progress in NAPs

❑ Global **NAP Calendar:** to capture information on the different meetings, training workshops and conferences related to NAPs from all partners

❑ **Country profiles**

❑ **Partner profiles**

❑ **NAP Events online**: NAP Expos, workshops

❑ **NAP Tracker:** to capture progress made by each country

❑ Etc.

Collection of information on progress made in NAPs

- ❑ To support the SBI assessment of progress made in NAPs

- ❑ Help the LEG (and all partners) to identify:

  - ❖ Progress being made by the countries, and on support

  - ❖ Best practices and lessons learned

  - ❖ Gaps and needs

- ❑ Online questionnaire on NAPs enables countries to provide information on a continuing basis

- ❑ Information will help assess achievement of the objectives of NAPs, progress towards achieving the global goal on adaptation, etc.

Thank you