

UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Subsidiary Body for Implementation

Thirty-fifth session

Durban, 28 November to 3 December 2011

Item 7 (a–b) of the provisional agenda

National adaptation plans

Views on the process and the modalities and guidelines for national adaptation plans

Submissions from Parties and intergovernmental organizations

1. The Subsidiary Body for Implementation, at its thirty-fourth session, invited Parties and relevant organizations to submit to the secretariat, by 15 August 2011, their views on the process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action, and their views on the modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans, for compilation by the secretariat into a miscellaneous document and as input to the possible expert meeting to be held prior to the seventeenth session of the Conference of the Parties.¹

2. The secretariat has received 18 such submissions. In accordance with the procedure for miscellaneous documents, the 11 submissions from Parties² and the five submissions

¹ FCCC/SBI/2011/L.16, paragraphs 5 and 7.

² Also made available on <<http://unfccc.int/5902.php>>.

FCCC/SBI/2011/MISC.7

GE.11-63656

from intergovernmental organizations³ are attached and reproduced* in the languages in which they were received and without formal editing.

3. In line with established practice, the two submissions received from accredited non-governmental organizations have been posted on the UNFCCC website.⁴

³ Also made available on <<http://unfccc.int/3714.php>>.

* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

⁴ <<http://unfccc.int/3689.php>>.

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* This submission is supported by Bosnia and Herzegovina, Croatia, Iceland, Serbia, the former Yugoslav Republic of Macedonia and Turkey.

Paper no. 1: Australia

Submission under the Cancun Agreements | August 2011 National Adaptation Plans | SBI

I. Overview

This submission contains the views of the Australian Government on National Adaptation Plans (NAPs), as requested under SBI Conclusion FCCC/SBI/2011/L.16.

Following on from the Cancun Adaptation Framework (1/CP.16), a process was established to enable Least Developed Country (LDC) Parties to formulate and implement NAPs.

This process will build upon the experience of LDCs in preparing and implementing National Adaptation Programmes of Action (NAPAs), as a means of identifying their medium and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. Other developing country Parties are also invited to employ the modalities formulated to support NAPs in the elaboration of their own planning efforts.

Australia welcomes the opportunity to submit its views. There is a growing body of knowledge on climate change adaptation planning to work from. Australia draws from *inter alia* the Lessons for Future Action Conference it co-hosted in May 2011. In summary, Australia considers that:

- The initial step is to identify and, where possible, address key information gaps ahead of planning. National priorities are best shaped once risks have been thoroughly assessed.
- International and regional approaches to planning achieve greatest success when they reinforce national planning agendas, and are informed by robust science and analysis.
- NAPs should be integrated within and strengthen existing planning systems and processes. They should not duplicate but add value to existing medium and long-term adaptation plans.
- The development of NAPs or upgrading of existing plans could be guided by a set of principles and guidelines, rather than a strict template.
- Given the limited time until Durban, Australia supports drawing on existing work and the expertise of bodies, including the Least Developed Countries' Expert Group (LEG), which is already considering medium and long-term planning for LDCs under decision 6/CP.16.

II. Building an information and reporting base

Australia welcomed the opportunity to sponsor and facilitate, with the Secretariat for the Pacific Regional Environment Programme, the Lessons for Future Action Conference on climate change adaptation and disaster risk reduction in Small Island Developing States, held in Samoa from 23-26 May 2011. The outcomes of the Conference, based on current national and regional approaches, are useful to consider when establishing the NAPs process. Adaptation plans or frameworks must be informed by robust climate change science and broader scenarios for the future. Significant gaps in climate, population, and socio-economic projections need to be identified and, where possible, addressed before countries assess how their options for adapting to climate change relate to their development goals and broader economic objectives. Without this gap analysis, optimal forward planning will not be feasible. However, minor gaps should not stop the commencement of planning that is pragmatic, flexible and capable of integrating emerging science.

Adapting to climate change and disaster risk reduction are long-term agendas that require long-term planning, an iterative process to incorporate new information and evolving assessments of risk. NAPs need to be living documents that are modifiable, dynamic and responsive to changing conditions and the latest information. Medium and long-term planning may require very difficult decisions in terms of current versus future investments. Parties will need to build in mechanisms for revision of NAPs as new information emerges and circumstances

change. The process should help LDCs and other developing countries to make both early choices, taking future risks into account, as well as to take a step-wise ('no regrets') approach to decision-making.

In Australia's view, the adaptation chapter of national communications provides a natural vehicle to reflect on the NAPs process, with the ability for continuous revision through each iteration. NAPs would fit neatly under the section on adaptation measures that includes, *inter alia*, 'appropriate and integrated plans for coastal zone management, water resources and agriculture' (Article 4(1)(e) of the Convention).

III. Using existing frameworks

NAPs should assist developing countries maximise synergies with existing processes and bring greater effectiveness to these. Some developing countries have already developed medium and long-term adaptation plans such as the Joint National Action Plans for Climate Change Adaptation and Disaster Risk Reduction (Tonga), Strategic National Action Plans (Maldives) and Climate Change Strategy and Action Plans (Bangladesh). Where these plans are integrated, country-driven and working effectively, they supersede the need for a NAP.

NAPs should have the flexibility to encompass, integrate and add value to existing plans. The development of NAPs or upgrading of existing plans could be guided by a set of principles and guidelines, rather than a strict template. This could enable the NAPs to meet the needs and add value to each vulnerable country based on its different national circumstances and desire to integrate with regional approaches.

A flexible approach would help integrate medium and long-term climate change adaptation planning into national frameworks. Integrating disaster risk reduction, climate change and environmental considerations into development programs and planning is cost effective in the long term, will result in more sustainable development outcomes and will also aid progress towards the Millennium Development Goals.

The NAPs themselves could be used to articulate the processes that lead to integrating adaptation into national development. NAPs could set out country adaptation priorities aligned with other sectoral, development and strategic plans. Understanding of cross-sectoral approaches assists decision-makers to address the trade-offs and linkages that adaptation demands.

Some developing countries, particularly non-LDCs, might already have well-built planning systems and processes that fall just short of comprehensive adaptation plans. NAPs should be flexible enough to assist with these broader and more complex needs. The NAPs Experts' Meeting, scheduled for mid-September in Laos, should allow time to discuss the needs of LDCs and other developing countries in the development of NAPs.

IV. Governance arrangements

The processes, collaboration and national institutional arrangements established to support the NAPs are as important as the plans themselves.

NAPs should be supported by effective and inclusive governance arrangements. The NAPs process could integrate within and strengthen existing arrangements or develop new ones according to developing country circumstances. NAPs could build off the current arrangements for designing and implementing NAPAs in LDCs and factor in the wider range of entities necessary for longer-term planning.

For new arrangements, the process of developing NAPs could be led by national governments and their central ministries, with the active involvement and ownership of a diverse range of community representatives and sub-national governments. Many different institutional frameworks could work, but country ownership – along with a strong agency with influence across government and community – helps drive effective action across sectors and ministries.

A strong and well-integrated governance structure could also assist with coordinating engagement with donors and increase the effectiveness of support. NAP governance arrangements could be integrated within and used to strengthen the delivery of climate change programs and development assistance more broadly. NAP guidelines could also contain criteria to evaluate and prioritise adaptation needs.

V. Using existing expertise

When developing NAPs, LDCs should be able to draw on a range of experts based on their national and local level requirements. This includes existing expertise within the UNFCCC, such as the LEG, which has provided helpful guidance on NAPAs. It is also within the LEG's current mandate under Decision 6/CP.16 to develop guidance on medium and long-term adaptation planning for LDCs.

Australia is pleased that the SBI conclusion from the June Bonn session (FCCC/SBI/2011/L.16) highlights the LEG's current work on the issue. The Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention could also play a role. The expertise it has in the field of vulnerability and adaptation assessments could assist in informing the development of NAPs. Their attendance at the NAPs Experts' Meeting would also be welcome.

National Governments could also usefully draw on the experience of programs and bodies outside the UNFCCC such as the Climate Investment Fund's Pilot Program for Climate Resilience.

Paper no. 2: Colombia

Submission from Colombia on Views on process, modalities and guidelines for least developed country parties and other developing country parties to employ the modalities formulated to support National Adaptation Plans - NAPs

The Colombian Government welcomes the opportunity to present its views on process, modalities and guidelines for least developed country parties and other developing country parties to employ the modalities formulated to support National Adaptation Plans – NAPs and presents recommendations on the following issues:

1. Principles for NAPs:

- Support for the implementation of NAPs shall be in accordance with paragraphs 11 and 18 of 1/CP 16.
- Support shall be provided especially to particularly vulnerable countries in accordance with paragraph 11, in order to enable countries to undertake the actions and measures outlined in paragraph 14.
- Adaptation programming is critical to enable countries to implement development pathways that can be projected and maintained over the medium and long term, by avoiding maladaptation and identifying the most cost-effective and efficient measures, investments and strategies, as well as no-regret options, for enhancing resilience at all levels.
- Even in developing countries that are not LDCs, there are significant levels of poverty, and it is the poor who are the most vulnerable, not only because their coping range is far more limited (they have less resources at all levels to generate options) but because they tend to rely more on ecosystem services and natural resource bases that are the most threatened by climatic variability and long term climate impacts.
- The only way to put in place sound responses to climatic variability and climate change is to enact long term programming and planning processes, that articulate requirements, opportunities and challenges at all levels from local communities to national policies. This is a key requirement for all countries, but a pressing need in particularly vulnerable countries that are already suffering from the devastation wrought by climatic impacts.
- Colombia understands the NAP as a process, not a product. However, it is an inordinately complicated process given that it requires no less than full mainstreaming of climate change considerations into all levels of sectoral and territorial planning, and in-depth changes in behavior and productive practices. Therefore, not only is there is a clear need for countries to be able to access guidance on the kinds of issues, information, tools, and measures that need to be considered, but there are evident benefits to be derived from sharing lesson learned, best practices, expert rosters and knowledge networks. The NWP has provided some useful products, but this is insufficient given the range and depth of requirements that effective reduction of vulnerabilities across all sectors and levels implies.
- Work undertaken to provide this support to LDCs is a sound beginning, but countries with more advanced and diverse productive sectors, and a broader range of investments, among other considerations, will require different support.
- Colombia underlines, moreover, that this effective support should be a cornerstone and a key deliverable under the Convention, which has to date inadequately and insufficiently considered and addressed issues related to Adaptation. Support to NAPs for all countries, especially those that are already particularly vulnerable, is an excellent start, but not sufficient. Therefore, over the short term, it is imperative that requisite time and space is

allocated under the Convention to further explore and define how countries will be supported in responding to current and impending climatic impacts.

2. Proposed linkages with existing institutions under the Convention:

In line with the above considerations, it is evident that the Adaptation Committee should play a key role as a vehicle for sharing experiences and lessons, as well as gaps and requirements at all levels, in order to advance the international community's understanding of what tackling climatic variability and change implies. However, it is emerging quite clearly that the Adaptation Committee will not have the sufficient resources nor expertise to provide more targeted, technical support to countries, therefore the Convention also needs to consider what kind of mechanisms need to be put in place to deliver on this front.

In addition to this, strong linkages need to be established with the Technology Mechanism. Developing countries have a weak understanding of the requirements and options that exist regarding appropriate technologies for adaptation and what exactly an "adaptation technology" is all about. Funding under the GEF CC window makes this evident, given that there is significant imbalance between project requests and funding for adaptation and mitigation technology transfer projects.

Finally, there is a need to ensure that the Green Climate Fund provides strong incentives and support for channeling funding to adaptation projects and requirements. As noted above, the experience under GEF has been underwhelming, and many bilateral donors informally indicate that it has proven difficult to identify, develop and implement adaptation projects in developing countries. The GCF needs to ensure that the requisite capacity building or other foundational elements are in place to enable countries to identify adaptation requirements, formulate initiatives to respond to these, and access funding opportunities.

3. ~~Thematic areas and issues to be addressed for the NAPs:~~ Core adaptation issues in which the Convention should provide support to countries

Colombia considers that there are at least key areas that the Convention should contribute to at country levels, and which should be reflected, as appropriate, in the respective NAP development processes:

- a) An understanding of cross-sectoral approaches that assist decision-makers at all levels to address the trade-offs and linkages that adaptation will demand. Examples would be allocation of scarce water resources among competing users or definition of coastal land use. This includes the identification of no-regrets options.
- b) Guidance on vertical linkages between local, sub-national, and national levels, and also at regional levels in the case of shared water systems. There needs to be an understanding of the kind of overarching policies and measures, as well as institutional arrangements needed, at national level; but also a process for enabling informed feed-back loops to sub-national levels where adaptation ultimately takes place.
- c) Territorial (or landscape) approaches that address adaptation needs at local and sub-national levels. Adaptation will ultimately take place at local levels, because response measures are of necessity very specific to local contexts. Therefore territorial approaches will be a key component of effective adaptation programming. However, is the view of Colombia that these approaches can also present an opportunity for linking both adaptation and mitigation issues. For example, REDD should be understood also as an adaptation response measure given that sound forest ecosystems are more resilient and contribute to maintaining key ecosystem services - these are examples of the most cost-effective no-regrets adaptation measures. In this context, the NAPs process should incorporate lessons from ongoing work on Community Based Adaptation (CBA) and Ecosystem Based adaptation approaches.
- d) Guidance to specific sectors on increasing resilience to climatic impacts. In many countries, key sectors such as those related human health have not fully understood the possible impacts of climate change and requirements or options for putting in place long-term monitoring, evaluation and planning processes.
- e) Adaptation demands very complex decision-making processes, and decision makers are often constrained by limited capacity to base these processes on sound science. This is particularly true at sub-national levels,

where in addition to the difficulties in interpreting scientific information, this information is quite often very limited and fragmented. Therefore there is a need to assist countries to put in place processes for “translating science” for decision making processes as well as for accessing the plethora of existing information which can provide a referent – even if it is not downscaled to the appropriate level - to at least orient decision-making processes.

4. Workshop to address adaptation programming:

There is a need to conduct a workshop on Adaptation, focused on how the Convention should address core adaptation issues such as those detailed above. The main theme of the workshop could be "challenges of incorporating climate risk management into development planning at national level". The workshop should be a grounded, sensible discussion that assists Parties to understand from a technical perspective how the Convention can support these efforts, attempting to avoid political discussions at this stage.

Paper no. 3: Democratic Republic of the Congo

Proposition de soumissions de la République Démocratique du Congo
À l'intention du SBI

Soumission sur l'item 1 de la liste de soumissions : Plans nationaux d'adaptation

La RDC invite les PMA qui sont à l'étape d'élaborer leur PANA (Programme d'action national d'adaptation) à identifier et à partager les difficultés rencontrées dans l'application des lignes directrices, pour ainsi bénéficier des conseils et des expériences des pays mieux avancés dans ce processus.

Tout en appuyant la mise en œuvre des plans nationaux d'adaptation, la RDC souhaite que le soutien financier nécessaire à l'opérationnalisation des projets d'extrême urgence du PANA de la RDC qui sont déjà validés soit octroyé. Les étapes actuelles pour obtenir le financement pour la mise en œuvre des projets des PANA ralentissent le processus de décaissement des fonds et ne permettent pas de répondre aux besoins en adaptation des communautés les plus vulnérables aux changements climatiques. Il convient donc que les besoins en adaptation à court terme soient d'abord en priorité comblés à travers la mise en œuvre des PANA avant que les besoins de moyen et long termes soient considérés par la mise en œuvre des plans nationaux d'adaptation. La mise en œuvre des PANA ne doit pas être négligée au profit de l'élaboration et de la mise en œuvre des plans nationaux d'adaptation.

Au même titre que les PANA bénéficient de lignes directrices d'élaboration, la RDC soutient l'établissement d'un processus méthodologique mené par le GEPMA afin de mettre à disposition des Parties au plus vite des lignes directrices pour élaborer, mettre en œuvre et effectuer le suivi des plans nationaux d'adaptation. L'octroi immédiat du soutien financier et technique est aussi impératif pour l'élaboration et la mise en œuvre des plans nationaux d'adaptation. De même la mise à disposition de ces lignes directrices dans différentes langues est cruciale.

Par ailleurs, les obstacles à l'accès aux fonds qui sont liés aux difficultés de coordination avec les agences de mise en œuvre et avec le FEM, aux exigences de cofinancement pour et à la complexité de l'évaluation des coûts additionnels pour l'adaptation devraient être pris en compte pour éviter la rencontre de telles barrières lors de l'élaboration et la mise en œuvre des plans nationaux d'adaptation. En outre, le processus devant mener aux plans nationaux d'adaptation doit impérativement comprendre le renforcement des capacités et de l'expertise des équipes nationales et un soutien financier et technique qui soit continu et prévisible. Il est impératif que ce soutien perdure et s'intensifie lors des phases de mise en œuvre et de suivi.

La RDC est d'avis que les plans nationaux d'adaptation devraient être intégrés au processus national de planification et devraient prendre en compte les priorités nationales de développement durable des pays. En ce sens, un soutien financier programmatique nous apparaît plus adapté qu'un soutien par projet. Les lignes directrices qui seront mises à disposition des pays devront être suffisamment flexibles pour laisser aux pays une marge de choix large pour la planification des actions. En outre, une des leçons apprises des PANA est que si le soutien financier pour les PANA avait été prévisible et adéquat, les projets des PANA auraient pu être davantage intégrés aux programmes nationaux existants.

La RDC souhaite que le processus d'élaboration des plans nationaux d'adaptation s'appuie sur des projections des futurs impacts des changements climatiques à moyen et long-termes et inclue un processus d'évaluation de la vulnérabilité à moyen et long terme. Le plan national d'adaptation servira ainsi de stratégie cadre pour toutes les actions en adaptation du pays. En outre, les plans nationaux d'adaptation doivent constituer un processus continu au cours duquel des ajouts et des mises à jour pourront être réalisés.

Concernant le contenu des plans nationaux d'adaptation, la RDC souhaiterait que ceux-ci incluent entre autres :

- i. la stratégie de développement du pays et les implications des changements climatiques pour les priorités de développement;
- ii. les impacts pour chaque secteur économique et les impacts biophysiques à court, moyen et long termes;

- iii. les besoins et écarts en adaptation;
- iv. les critères d'évaluation et de priorisation des actions d'adaptation;
- v. les projets en adaptation;
- vi. le soutien institutionnel, financier et technique ainsi que le renforcement des capacités nécessaire;
- vii. les stratégies d'intégration du plan dans les autres stratégies nationales;
- viii. les changements politiques souhaitables;
- ix. les systèmes nationaux et locaux de coordination pour la mise en oeuvre du plan et
- x. le processus de mise à jour et de suivi du plan.

Concernant les prochaines étapes, la RDC appuie la proposition du Groupe des PMA afin de lancer le processus des plans nationaux d'adaptation notamment en ce qui a trait au renforcement des capacités institutionnelles, d'organiser une réunion d'experts pour identifier les approches d'évaluation de vulnérabilité et de risques dans divers secteurs, et de mettre à disposition les informations et autres ressources développées dans le cadre du Programme de travail de Nairobi.

Paper no. 4: Democratic Republic of the Congo on behalf of the African Group

Proposal on National Adaptation Plans African Group

This note provides background elements and information on current discussions in the UNFCCC regarding “national adaptation plans”, as basis for further elaboration of a submission on this topic. Attached is a range of supporting materials including selected proposals by other UNFCCC Parties as well as relevant analysis.

The note provides summary information on:

1. Mandate
2. Proposals
3. Relevant Materials

1. Mandate

In light of Article 4.4 of the Convention, which requires developed countries to assist the developing country Parties that are particularly vulnerable to the adverse effects of climate change in meeting the full costs of adaptation to those adverse effects.

Article 4.9 also requires that:

The Parties shall take full account of the specific needs and special circumstances of the least developed countries in their actions with regard to funding and transfer of technology.

Decision 1/CP.16 (Cancun) decided to establish a process in order to:

Enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs;¹

And invited:

Other developing country Parties to employ the modalities formulated to support the above-mentioned national adaptation plans in the elaboration of their planning effort referred to in paragraph 14 (a) above;²

2. Proposals

(a) The process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing NAPAs;

- The process to formulate and implement NAPs shall be country driven, following the priorities identified by the Countries themselves.
- The process to enable the formulation and implementation of NAPs should be guided, directed and supported by the Adaptation Committee. The Adaptation Committee may provide information, analysis and review on NAPs as well as serving as a forum for information sharing.

¹ Para 15

² Para 16

- The Least Developed Countries Expert Group (LEG) should continue to provide expertise and advice to LDCs during the formulation and implementation of their NAPs and as an important source of information for the Adaptation Committee.
- The formulation and implementation of NAPs will consider the outcomes from different bodies under the Convention, including recommendations of the NWP.
- The formulation and implementation of NAPs will also require increase in research on means to raise awareness, provide information and conduct endogenous research such that LDCs have improved capacity to develop NAPs that reflect adaptation priorities and are implementable by local institutions and peoples.
- In order to successfully formulate and implement NAPs, developing countries require support for capacity building to perform important functions, including but not limited to:
 - Consultation - to be effective consultations these will be bottom up, designed by local communities and affected peoples; participatory with appropriate notice, access provisions, diverse media for inputs and outputs; multi-stakeholder in their targeting; and geographically diverse.
 - Baseline Vulnerability Assessments – to be accurate in determining particular areas of vulnerability and their integration into broader sustainable development frameworks.
 - Promotion of community based projects – to avoid top-down imposed policy responses that fail to serve the affected communities and risk compounding dislocative effects of climate impacts.

(b) The modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans.

- All modalities and guidelines for the employment of support must be based on the principles and provisions of the Convention to ensure the fulfillment of Art 4.4 and Art 4.9
- The principal modality necessary for the formulation of NAPs is the scaling up of support provided by Annex II parties in line with the provisions of the Convention, to be adequate to the needs of developing countries, including through contributions by Annex II parties to the Green Climate Fund, Adaptation Fund, LDCF, SCCF and other relevant financial mechanisms to ensure that there is sufficient finance for LDCs and other developing countries to formulate and implement NAPs.
- Modalities may draw upon experiences with NAPAs and thus ensure that:
 - There are no long delays between approval and the delivery of funds;
 - Processes, procedures and forms are not substantially altered after their establishment;
 - Countries retain flexibility to revise NAPs as circumstances require;
 - Clustering of projects and programmatic approaches can receive finance;
 - Participatory approach throughout the process, consistently working with stakeholders and civil society, including women's groups ;
 - Co-financing requirements are removed.
- Guidelines for finance mechanisms (across institutions and funds) must ensure that provision for adaptation is equal to that for mitigation in developing countries. There is also a need to ensure that the future modalities of the Green Climate Fund complement activities supported by the AF, LDCF and SCCF.

Further work should be undertaken to ensure that support is provided in a timely, appropriate manner without unnecessary duplication or extra bureaucratic procedures, particularly in relation to disbursement agencies.

- Modalities to enable technology transfer and capacity building to develop NAPs will be critical for their effective formulation. These may include revision of intellectual property rights and the sharing of knowledge and expertise to provide, among others, needed capacity building similar to that listed above.
- Modalities and guidelines on the monitoring and evaluation of Annex II parties' assessed contributions to relevant funds and of technology for the support of NAPs are required to ensure the sufficient scale of resources is available. Guidelines governing funds should make a clear delineation of funding in the AF sourced through CERs from the CDM.

Paper no. 5: Gambia on behalf of the least developed countries

1. INTRODUCTION

a. Background

Climate change will severely affect the economic and development prospects of the LDCs.

Adapting to climate change entails making the appropriate adjustments and changes to reduce the negative effects of climate change. This demands good understanding of changes and planning, not only in the immediate and short-term, but also in the medium and long-term. Because of the speed at which climate changes are occurring, it is essential that LDCs embark on comprehensive adaptation planning covering all time spans, from the short-term to the long-term.

b. The history of issues under the COP/SBI

The COP by its decision 1/CP.16, established a process to enable LDC Parties to formulate and implement national adaptation plans (NAPs), building upon their experience in preparing and implementing national adaptation programmes of action (NAPAs), as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. The decision invited other developing country Parties to employ the modalities formulated to support the above-mentioned NAPs in the elaboration of their planning efforts. It then requested the SBI to elaborate modalities and guidelines for the provisions of paragraphs 15 and 16 above, **for adoption by the Conference of the Parties at its seventeenth session.**

c. Call for submissions

At its 34th session, the SBI invited Parties and relevant organizations to submit to the secretariat, by 15 August 2011, views on the following matter:

- The process to enable LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs.
- The modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPAs.

The LDC group therefore takes this opportunity to submit its views on the process, modalities and guidelines to enable the formulation and implementation of NAPs. The group welcomes the proposed expert meeting on NAPs to be held in September 2011 as mandated by SBI34, and the inputs from the LEG through its technical paper on medium and long-term adaptation, and looks forward to views of other Parties as we embark on this important work.

2. EXPERIENCES FROM THE NAPAs

Information on the experiences from the NAPAs will refer to both the process of NAPAs preparation and that of NAPAs implementation. Because of being disproportionately exposed to the adverse consequences of climate change and environmental degradation and having least capacity to prepare for and recover from the impacts, LDCs were the first to engage in an organized planning process for adaptation. Forty five LDCs have completed their NAPAs under the guidance of the UNFCCC process in order to address urgent and immediate needs related to vulnerability to climate change. The last three NAPAs are in the final stages of preparation and are expected to be completed soon.

LDCs acknowledge that the process of NAPA preparation, has been beneficial to LDCs in helping them understanding the issues connected to vulnerability, as well as identifying immediate and urgent adaptation needs, at local and to some extent at national levels. The process helped to build national capacity in the area of adaptation and provides useful experiences in the participatory processes for further activities. The NAP process can certainly learn from the LDC NAPA experience for medium and long term adaptation planning. Within the over 445

identified priority projects that the LDCs have prepared, they address specific needs and types of hazards for which further delay could increase vulnerability or increase costs at a later stage. Although constrained by barriers including a lack of administrative capacity, shortage and unpredictability of funding, limitations of the current institutional structures and coordination challenges across multiple focal points, the NAPAs have used a variety of methods to capture current social, economic and environmental vulnerability to existing climatic stresses and future risks. Involvement of different stakeholders, inclusion of existing coping strategies, and integration of policies into planning are a few other areas to highlight. If funding was adequate and predictable, the design of implementation of NAPA projects could have been coordinated better into national programmes, rather than through individual projects as was the only mechanism for funding NAPAs under the LDCF. The NAPA process reveals many lessons that can guide effective design of the NAP process. The way the process was established at the international level for receiving funding for both the preparation and implementation of NAPAs, with several complex steps along the way, has proved to be very difficult for LDCs to access funding to meet urgent and immediate needs identified in NAPAs. The delays in making funding available to vulnerable communities has resulted in many unmet expectations.

Out of forty five (45) NAPAs containing over 445 identified priority projects, only 47 projects have been approved so far and less than ten percent implemented. The key factors that made it difficult for LDCs to access funding are associated with:

- The co-financing requirements for adaptation projects;
- Complexity of assessment of the additional costs for adaptation;
- COP mandates that were not fully implemented by the GEF, such as the application of the sliding scale for assessing co-funding requirements, compared to direct estimation of additional adaptation costs, where most countries were in fact required to apply both methods in a given project instead of one or the other;
- The delays in accessing funding after projects have been approved;
- The difficulties of cooperation and coordination associated with the implementing agencies;
- The Communication between GEF, agencies and countries etc;
- Low level of replenishment of the LDC Fund and gap between the pledges and the disbursement;
- Changing requirements and unmatched priorities (country priorities and GEF requirements).

The group strongly believe that, in order to provide a better context for the NAPs and ensure the relevance and legitimacy of this process, further efforts and improvements need to be done to help LDCs overcome above mentioned barriers, especially when moving to a broadened phase on formulating and implementing medium and long-term adaptation.

A successful NAPs process should build on learning experiences not only from the preparation of NAPAs, but also on experiences from their full implementation. The NAP process should draw on a broad expertise that can facilitate the objectives of this process, including:

- LDCs' experience with preparation and implementation of NAPAs;
- Expertise of the LEG (including the results in the LEG's work programme on identifying medium & long-term needs, such as the technical paper to be prepared);
- Experience from other national level planning processes, including, among others, low carbon and climate resilient development strategies;

- Experience from funding entities which have provided support to relevant approaches, such as the Global Environment Facility, the Pilot Programme for Climate Resilience or bilateral entities;
- Paragraphs 12 and 14 of 1/CP16;
- Expertise and contributions of civil society, research, intergovernmental and other relevant institutions.

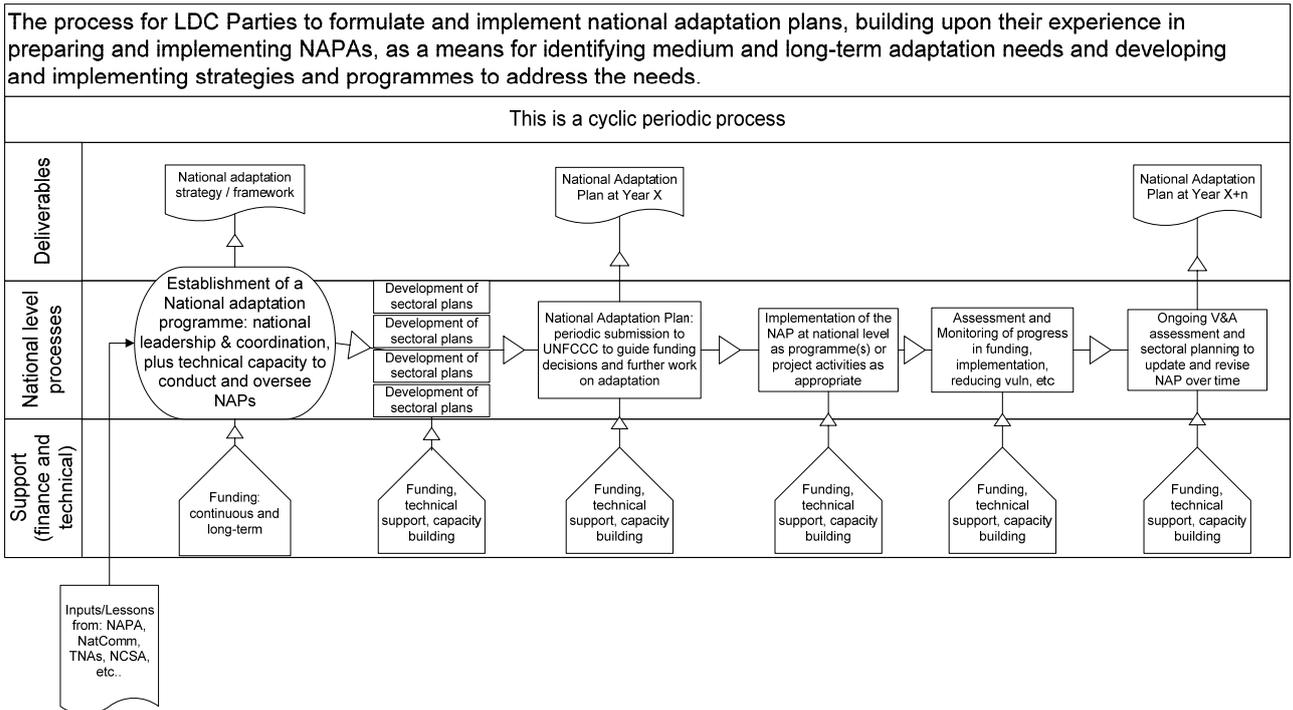
3. VIEWS ON THE PROCESS TO ENABLE LDC PARTIES TO FORMULATE AND IMPLEMENT NAPS, BUILDING UPON EXPERIENCE IN PREPARING AND IMPLEMENTING NAPAS, AND ON THE MODALITIES AND GUIDELINES FOR LDC PARTIES AND OTHER DEVELOPING COUNTRY PARTIES TO EMPLOY THE MODALITIES FORMULATED TO SUPPORT THE NAPS

a. General approaches to the NAP process

- Work under the SBI and the COP needs to address all the core components of the process:
 - The process under the COP to facilitate immediate launch, and subsequent periodic review;
 - Immediate delivery of support for the preparation and implementation of NAPs;
 - Guidelines for the preparation of NAPs including how to define successful implementation strategies;
 - Arrangements for technical support;
 - Elaboration of the role of the LEG, the Adaptation Committee and other bodies;
 - The role of the secretariat;
 - The role of Annex II Parties.
- The process should build on experience and lessons gathered from implementing COP guidance, therefore, should allow enough flexibility to review progress and provide additional guidance as necessary over time, to address emerging obstacles and to take advantage of new opportunities and developments. The review should be provided for at every COP.
- The process needs to be guided by the following principles:
 - The NAP process is distinct and separate from the NAPA process and the NAPs should build upon, but not be determined by, the NAPA process;
 - NAPA preparation and implementation has to continue to address urgent and immediate needs through projects, and financial support should be scaled up and made more predictable;
 - The NAP process complements the NAPA process by addressing medium- and long-term adaptation needs. It is a result of the recognition of the fact that there is the need to go beyond NAPAs and to develop medium and long term national approaches to adaptation, and in cases where urgent and immediate project ideas emerge from the NAP process, these can be channelled through the NAPA for expedited support, through a coordinated revision and update of the NAPA;
 - The NAP is a dynamic and continuous process, with periodic outputs/communications in the form of dated reports to convey to the Convention and to donors the priorities and needs for adaptation;
 - The NAP would be communicated through a stand-alone report/document to be published and made available to all stakeholders, and submitted to the Secretariat for archiving and wide dissemination;

- The NAP preparation process would incorporate more comprehensive analysis and modelling during assessment of vulnerability, and would address all the components of vulnerability including risks due to exposure to climatic hazards (disasters and extremes); climate-proof activities and development to reduce adverse impacts of climate change, and building adaptive capacity and resilience;
- The NAP process should implement adaptation activities using a strategic approach, including through programmes that are scaleable and provide for a continuing approach to implementation, rather than through individual projects;
- The NAP process must serve as the overarching national strategy or adaptation policy, the implementation of which all adaptation activities in a country should contribute to in a coordinated manner;
- As per the paragraph 12 of 1/CP16, The process should follow an inclusive and integrated country-driven, gender-sensitive, participatory and fully transparent approach that considers vulnerable groups, communities and ecosystems, and acts to integrate adaptation into relevant social, economic and environmental policies. Priority should be placed on full and effective participation by local communities and the most vulnerable groups, communities and ecosystems to ensure country ownership and integration of local needs and priorities. Where appropriate, regional concerns could be included in NAPs of relevant partner countries, and could lead to proposed regional projects and programmes where this is advantageous;
- NAPs should be country-driven, context-specific, and not prescriptive;
- NAPs are pragmatic;
- The process to enable LDC Parties to formulate and implement NAPs should benefit from engagement with the LEG, including through consideration of the output of its work on medium- and long-term adaptation in the least developed country Parties;
- The NAP process should entail national level periodic updating and review;
- The NAP process should be supported through a global process/guidelines that are non-prescriptive and enable flexible, country-led planning and choice by the country of areas and sectors of focus;
- Other developing country parties can employ the modalities formulated to support national adaptation plans, which will be developed for least developed country parties.

The diagram below portrays how LDCs view the process.



- Valuable lessons could be drawn from:
 - The experience of Parties, particularly through the NAPA process;
 - The ongoing work of the LEG;
 - Experience of Parties in developing national communications;
 - Experience from multilateral programmes, and planning processes outside of the UNFCCC process;
 - Experience from the Nairobi Work Programme on impacts, vulnerability and adaptation to climate change, and other relevant work under the Convention;
 - Other external expert input, including new institutional arrangements, where appropriate.

b. The process

LDCs view the process for the formulation and implementation of NAPs as comprising of necessary steps to move LDCs towards meeting national goals for addressing climate change in managing climate change risk, improving adaptive capacity and building resilience, climate proofing development, etc.

The LDCs consider that the “process to enable LDCs to formulate and implement and NAPs” should contain measures to address the special needs and circumstances of LDCs in formulating and implementing NAPs as follows:

i. Needs of LDCs for formulation of NAPs:

- Building/strengthening effective national institutions to formulate and implement NAPs through activities such as Strengthening of national capacities and expertise; in particular through building in-country, permanent teams of experts (as opposed to hiring external consultants) and through continuous and predictable support (as opposed to project by project support) (learning from NAPA);

- Capacity building and tools for V&A, models/scenarios, etc;
- Technical inputs and support from other relevant and specialized experts/agencies;
- Data & information to inform NAP formulation and improvement such as Improvement of climate-related research and systematic observation for climate data collection, archiving, analysis and modeling in order to improve climatic-related data and information;
- NAPA lessons & experience for NAP;
- Full implementation of LDC Work Programme (See below*);
- Adequate finance to formulate NAPs and build capacity of LDCs to formulate NAP (*Finance group can provide some input*).

ii. Needs of LDCs for implementation of NAPs:

- Support to national institutions to ensure continuity of NAP process and linkages between formulation and implementation and coherence among different sectors and stakeholders;
- Capacity Building of national institutions and experts to implement NAPs;
- Adequate and predictable finance to implement NAP (*Finance group can provide some input*);
- Review and monitoring of implementation and support provided.

iii. Actions required for the Process (to begin with):

- Periodic submissions and views from Parties and others to inform the review of progress in formulation and implementation of NAPs;
- LEG inputs as per its current mandate, and any additional areas of support that Parties may decide during adoption of the guidelines for NAPs;
- An expert meeting for the LDCs and others to identify and discuss technical approaches to vulnerability and risk assessment in key sectors, within the framework of the guidelines to be adopted at COP 17, and how to institutionalize the process of these assessments to produce periodic outputs for the NAPs over time;
- Adoption by COP17 of decisions launching the NAP process defining guiding principles, financing, technical support and capacity building, including their immediate operationalization, for the preparation and implementation of the NAPs;
- Elements for the periodic/regular review and monitoring of progress under the COP.

Note:

*** LDC Work Program as contained in decision 5/CP.7:**

- (a) Strengthening existing and, where needed, establishing national climate change secretariats and/or focal points to enable the effective implementation of the Convention and the Kyoto Protocol in the LDCs;
- (b) Providing training, on an ongoing basis, in negotiating skills and language, where needed, to develop the capacity of negotiators from the LDCs to participate effectively in the climate change process;
- (c) Supporting the preparation and implementation of NAPAs;
- (d) Promotion of public-awareness programmes to ensure the dissemination of information on climate change issues;
- (e) Development and transfer of technology, particularly adaptation technology (in accordance with decision 4/CP.7);
- (f) Strengthening the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support the implementation of NAPAs.

c. Modalities

These are the integral elements that would move the process, and would ensure that developing countries are able to develop and implement medium and long-term adaptation. These are at the two levels, at the COP level and at the national levels.

i. At the COP level:

These would be provisions laid out in decisions or as appropriate for:

Financial support:

- This will be required for NAPs design, preparation, identification of projects and for project implementation, in particular through programmatic and budget support, rather than just limited to the funding of specific small projects. Relevant funding institutions and initiatives, including the Green Climate Fund, shall give high attention to the strategies developed in LDCs.
- Source options for reparation of NAPs: in order to ensure commencement of the preparation of the NAPs without delay, immediately after COP17, appropriate arrangements need to be made to start their financing, and the following options could be explored:
 - Arrangements through existing funds such as the LDCF and SCCF, with access through the GEF-Agency model, or direct access.
 - Funding through a global programme such as the NCSP funded through the existing funds.
 - Bilateral support.
- Source options in the longer term: appropriate provisions should be made for the NAPs to be funded under the:
 - The Green Climate Fund.
 - The LDCF and the SCCF.
 - Adaptation Fund.
 - Other funds as appropriate.

Technical support:

- Areas of support:
 - LDCs would need enhanced technical support and capacity building to enhance their understanding of, and capacity to deal with, current as well as future vulnerability and identifying appropriate adaptation actions and implementing the adaptation actions.
 - They would need support for strengthening of national capacities and expertise in particular through building in-country, permanent teams of experts, as opposed to hiring external consultants, and through continuous and predictable support, as opposed to project by project support.
 - Support for improvement of coherence and synergy among national-level institutions, with a view to enhancing work on the full range of adaptation actions from planning to implementation.
 - Institutional support for facilitating accreditation of entities allowing direct access to support.
 - Definition of strategic prioritization for LDCs to access to financial support, technology and capacity building for short, medium and long term adaptation.
 - Improvement of climate-related research and systematic observation for climate data collection, archiving, analysis and modeling in order to improve climatic-related data and information.
 - Opportunities for shared learning, including South-South learning, technical assistance, including future opportunities through bodies such as the LEG and the Adaptation Committee.
 - General assistance on frameworks and guidance regarding national processes to promote consistency with regard to scope, coordination of climate strategies with other national plans, adherence to principles included in the Cancun Agreements (incl. paragraph 12 of 1/CP.16).
 - Modalities for updating plans to enable an iterative process that is responsive to long-term climate change and variability.
 - Opportunities to build national, local, and civil society capacity.
- Support bodies / mechanisms:
 - LDCs see the Adaptation Committee and the LDC Expert Group as two the key bodies to provide the technical support and capacity building that they would need for the preparation and throughout implementation of the NAPs. The two bodies should seek to complement each other in providing their support to the LDCs.
 - In essence, and in line with the submission that LDCs made on the Adaptation Committee (FCCC/AWGLCA/2011/MISC.1), the AC could support the development of strategic priorities, policies and guidelines of how adaptation should be supported under the Convention. The LEG would then provide direct and practical support to Parties in the development and implementation adaptation activities, including specific methods and approaches for the NAPs, in addition to the NAPAs. Such support will include medium and long-term adaptation and the NAPs, and elements that relate to the LDC work programme. The LEG would be mandated to provide such support to the LDCs, as well as other developing countries that may also need such assistance. It is foreseenforeseen that only a few non-LDC developing countries will require such direct assistance of the LEG.

Capacity building

- LDCs would continue to require capacity building for (i) strengthening their institutions at various levels, focal points and national coordinating bodies and organizations for planning and implementing medium and long-term adaptation, (ii) strengthening networks, communication, education, training and public

awareness, (iii) application of new approaches such as programmatic approaches, and in stronger integration of gender in adaptation, and integrating adaptation into development planning.

- The LEG should therefore be at the top of providing capacity building to LDCs in the work, with the AC providing support in harmonizing needs under the Convention between different provisions and bodies in a position to provide such support.
- The capacity building support should be implemented through various means such as through workshops and/or training.

Provisions for the development and use of guidelines

- Provisions need to be set in place on when, how and for what to develop guidelines. This will include the intended use/application of the guidelines. It will encompass their periodic review as necessary.

ii. At the national level:

- National teams for implementing the NAP process, (formulation and implementation of medium and long-term adaptation).
- National and sub-national committees.
- Enhancement and/or creation of enabling policy environment e.g. acts, legislation, policies, etc.
- Enhancement and/or establishment of a national adaptation programme.
- Improvement of national centers for research and systematic observations, vulnerability and adaptation assessments, decision-making and policy development.
- Systematic collaboration among all stakeholders.

d. Guidelines

- LDCs view the NAP structure to be similar to the of NAPA structures but with a special focus on the medium and longer term adaptation planning and implementation. It should also be noted that medium and long term planning and their implementation will require larger and more consistent funding, in contrary to voluntary provision applied to the LDCF. They need to include guidance on:
 - A process for the establishment of national teams and multidisciplinary teams.
 - Synthesis of necessary information, analysis and modeling.
 - Participatory vulnerability and adaptation assessment.
 - Approaches for stakeholder and public consultations.
 - A process for the identification of adaptation activities, including by nationally defined themes or sectors.
 - Harmonization of adaptation activities for the national level.
 - Development of identified adaptation activities into projects and/or programmes.
 - Developing an implementation strategy.
 - How to integrate adaptation into development planning and other planning processes.

- Developing a monitoring and evaluation strategy.
- They could contain a general structure or the typical components that the process must follow/address. Some of the outcomes of the process, or the proposed elements of the NAP, that may be synthesized into a planning document (the NAP) would need to be:
 - Background information about the country that is relevant to the process, covering current characteristics, key environmental stresses, and how climate change and climate variability adversely affect biophysical processes and key social and economic pillars of the country.
 - An overview of climate variability and observed and projected climate change and associated actual and potential adverse effects of climate change.
 - Short, medium and long term expected impacts, vulnerability and adaptation assessments, including assessments of financial needs as well as economic, social and environmental evaluation of adaptation options. Assessments based on modeling, risks, vulnerability and impacts can also identify most vulnerable sectors, populations, ecosystems. Prioritization of the most vulnerable should be based on the paragraph 12 of 1/CP.16.
 - National adaptation framework and its relationship to the country's development goals, consistency with social and economic development needs, goals, objectives and strategies taking into account other plans and multilateral environmental agreements.
 - Processes and methodologies to optimize existing frameworks and capacities.
 - Identification of adaptation activities including capacity building, policy reform, integration into sectoral policies and project-level activities, including issues relating to disaster risk reduction.
 - Approaches to minimize gaps and overcome barriers.
 - Implementation strategy for the medium and long-term adaptation activities.
 - The process for updating and reviewing the plan.
 - Monitoring and evaluation, including in accordance paragraph 12 of 1/CP.16.

4. IMMEDIATE NEXT STEPS (AFTER COP 17)

- i. Launch of the NAP process and training taking into account regional and language aspects.
- ii. Institutional capacity building for countries to be immediately able to start preparation of their NAPs.
- iii. An expert meeting for the LDCs and others to identify and discuss technical approaches to vulnerability and risk assessment in key sectors, within the framework of the guidelines to be adopted at COP 17, and how to institutionalize the process of these assessments to produce periodic outputs for the NAPs over time.
- iv. Invitation to the Nairobi Work Programme partners to make available information, data and other resources to contribute towards the formulation and implementation of the NAPs.

Paper no. 6: Hungary and the European Commission on behalf of
the European Union and its member States

Submission by Hungary and the European Commission on behalf of the European
Union and its Member States

**This submission is supported by Bosnia and Herzegovina, Croatia, Iceland, the Former Yugoslav Republic of
Macedonia, Serbia and Turkey.**

Budapest, May 2011

**Subject: EU views on matters related to para 15/16/17 of 1/CP.16 (enhancing adaptation to the adverse effect
of climate change in LDCs)**

1. Adaptation to the adverse effects of climate change is and will continue to be one of the most pressing challenges facing all countries, and especially so in particularly vulnerable countries. Adaptation to the adverse effects of climate change needs to be a country-driven process, and it will require longer term preparation for the future, even in view of uncertain and incomplete climate information and predictions. Against this background, the EU welcomes the decisions in Cancun to continue supporting the efforts of LDCs to adapt to climate change.
2. Given that the SBI is mandated to elaborate modalities and guidelines related to a process to enable least developed country Parties to formulate and implement national adaptation plans (para 15 and 16 of 1/CP.16) for adoption by the Conference of the Parties already at its seventeenth session, the EU wants to stimulate discussion on this important issue.
3. The EU is mindful that countries have already started processes to identify, plan and respond to the risk of climate change, at national level but also subnational level, including National Adaptation Programs of Action (NAPAs), national or sectoral adaptation strategies, integrated climate change action plans, etc.. NAPAs have been a useful tool to communicate the vulnerabilities and priorities of countries and to inform planning processes. The EU also observes that adaptation planning is increasingly being addressed in the context of development planning.
4. Experiences with these approaches should be a starting point to identify what countries need to be able to further their actions to adapt to climate change, and to define the value added by the UNFCCC process. There might be a need to synthesize these experiences and extract best practices.
5. The EU is conscious of the specific vulnerability and needs of LDCs and aims to focus on LDCs' needs in this discussion. The EU has been continuously supportive of the NAPAs in least developed countries, primarily through contributions to the Least Developed Countries Fund¹ (LDCF), other multilateral² and bilateral support, and through contributions to the Least Developed Countries Experts Group (LEG).
6. It will be important to ensure that these discussions take into account the work of the GEF and LEG to support efforts of LDCs regarding improvement of the quality of NAPAs, the integration of adaptation actions into development planning, and the identification of medium- and long-term adaptation needs, as mandated in Cancun. Duplication of work stipulated by the Convention needs to be avoided.

¹ Austria, Belgium, Czech Republic, Denmark, Finland, France, Germany, Hungary, Ireland, Italy, Luxembourg, The Netherlands, Portugal, Spain, Sweden, United Kingdom (Status Report on the LDCF and the SCCF, April 28, 2011 (GEF/LDCF.SCCF.10/Inf.2). In addition, a new pledge of EUR 150,000 was received from Romania in April 2011.

² E.g. the Pilot Program on Climate Resilience, Global Climate Change Alliance, Adaptation Fund.

7. The EU proposes to explore
 - what is needed to enhance planning and implementation processes in LDCs,
 - what the role of the Convention can be in facilitating, as appropriate, effective, country-owned, climate resilient development planning and facilitating international cooperation to enhance the implementation of such planning,
 - how to draw on the experiences of the NAPA process,
 - how to draw on the work of other relevant organizations (e.g. related to the UNCCD, UNCBD, Hyogo Framework for Action, development cooperation and others)
8. The EU sees this process as an opportunity to enhance learning and better understanding about effective planning and integrating adaptation priorities into broader sustainable development processes, implementation and following up on the results.
9. The EU views the process as facilitative rather than prescriptive; not resulting in a requirement for LDCs to prepare specific plans.
10. The EU is looking forward for a fruitful discussion with other Parties and especially the least developed country Parties on this important subject.

MALAWI SUBMISSION ON NATIONAL ADAPTATION PLANS

Malawi's submission following the invitation by the Thirty-fourth session of the Subsidiary Body for Implementation (SBI 34) for Parties to submit their views to the UNFCCC Secretariat, on the following two items:

- a) The process to enable LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs.
- b) The modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPs.

Background

Malawi has formulated and completed the National Adaptation Programs of Action (NAPAs) as a means to address its urgent and immediate adaptation needs. The NAPA was formulated taking into consideration that, in future, medium and long-term adaptation plans shall be developed as well.

Malawi has developed one full-size project from the NAPA, which is yet to go into implementation once logistical arrangements have been finalized with the African Development Bank, which is the Global Environment Facility's (GEF) implementing agency for the project. The project was approved in October 2010 by the Chief Executive Officer of the Global Environment Facility.

With emerging issues on the ground and increased vulnerabilities, the country has recognised that there is need for development and implementation of medium and long-term adaptation plans to assist the vulnerable areas and communities respond to both current and future challenges arising from Climate change. The formulation and implementation of these adaptation efforts need to be based on a sound science, cost effective and adaptation options that can be evaluated in terms of whether, and by how much, the benefits of such options exceed the costs of not adapting now.

1. The process to enable LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs.

Just as the NAPA process, the NAP process should be a country-driven process, be gender-sensitive, fully participatory and transparent. The NAPA process provided a good starting point for the development of NAPs. However, due to limited time and resources, the NAPA process was not comprehensive enough to cover detailed vulnerability assessments of all climate change sensitive sectors. Therefore, it is the view of Malawi to see that the NAP process is comprehensive enough as it will be a basis of medium and long term adaptation planning for the country. The NAP process will contribute into the overarching national adaptation strategy or policy for all sectors in the country.

The NAPA process also indicated limited capacity for most LDCs including Malawi when it comes to use of models and modelling tools. However, it is clear to Malawi that the NAPs will cover the medium and long term projections of Climate change vulnerabilities and impacts, therefore, the NAP process needs to enhance continuous capacity building for LDCs in modelling techniques and in use of various modelling tools.

Further, Malawi is of the view that the LEG and Adaptation Committee will provide very useful technical roles in the formulation and implementation of the adaptation plans from the LDCs.

In addition, the NAP process will be a continuous evolving process, and as such it will have to be flexible enough for periodic reviews and updates of adaptation interventions. This will need enhanced capacity in terms of relevant data collection during the whole process of formulation and implementation.

In terms of how LDCs will communicate their medium and long term plans, Malawi is of the view that these medium and long term projects, strategies, or programs should be communicated as a stand alone document which will be submitted to the UNFCCC Secretariat for wider dissemination.

Furthermore, the SBI should elaborate on how the NAP process shall be funded, in particular regarding issues of sources of the resources and their disbursement channels to the LDCs, and also the role of Technology Executive committee in the NAP process.

2. The modalities and guidelines for LDC Parties and other developing country Parties to employ the modalities formulated to support NAPs

The LEG provided useful technical assistance during the preparation of the NAPAs in terms of producing support documents including the Step-by-Step guidelines which were very useful for the LDCs. Malawi envisions that the modalities and guidelines should be contained in such type of technical document that may be produced by the LEG with inputs from relevant stakeholders as soon as it can so that it should help the LDCs in the formulation and implementation of their NAPs. This technical guidance should not be prescriptive and mandatory to be followed, but should serve just as a guiding tool for the LDCs

Malawi considers that as the modalities and guidelines for the LDCs could also be useful to other developing countries, its design should include: a) clear roles of coordination institution in a country, b) review of relevant background information to help identify components of the NAP, c) a comprehensive vulnerability and impacts assessments for all sectors, d) a country driven criteria for ranking medium and long term vulnerabilities. Further, the structure of the NAP should take into account governments' priorities and other available social and economic development strategies and the NAP should be clear enough on how it shall support those other development strategies. The NAP should also have a clear implementation strategy that could contain issues of specific activities, temporal and spatial scales of project and programs, institutional arrangements for implementation, monitoring evaluation issues, a communication strategy. There is also need to have thorough elaboration of how the beneficiaries of the adaptation programs will be identified and targeted. This is very critical if adaptation projects and programs will have an impact to those that are not only vulnerable to climate change but also to those that are vulnerable and poor. A clear indication on how the review and update of the NAP will be done is also an important area for consideration.

Paper no. 8: Nepal

SUBMISSION BY NEPAL

Kathmandu, 16 August 2011

Subject: Views on National Adaptation Plans

Nepal welcomes this opportunity to submit its views on the National Adaptation Plans (NAPs) regarding: (a) the process to enable LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs FCCC/SBI/2011/L.16, paragraph 5; and (b) the modalities and the guidelines for LDCs and other developing country Parties to employ the modalities formulated to support NAPs (FCCC/SBI/2011/L.16 paragraph 7) as inputs for the possible Expert Meeting on NAPs.

1. Nepal acknowledges the support of the GEF, Governments of the United Kingdom and Denmark, UNDP and all stakeholders for their active participation in NAPA preparation process. The NAPA in Nepal enhanced public awareness on climate change impacts, identified most urgent and immediate adaptation options, and strengthened institutional capacities. The NAPA process led to the preparation of LAPA (Local Adaptation Plan of Action) framework and LAPA manual to integrate adaptation options in the local planning process. The LAPA process provides opportunities to further assess site-specific climate vulnerabilities, identify adaptation options, and implement most urgent and immediate adaptation actions with people's participation.
2. Nepal is ranked as the 4th most climate vulnerable country worldwide. More than 4,000 people died in Nepal over the last ten years due to increased climate induced disasters, which caused economic losses of USD 5.34 billion. Every year more than 1 million people are directly impacted by climate induced disasters such as drought, landslides and floods. Similar events and their frequency are likely to increase in the future.
3. The NAPA preparation was completed through extensive country-driven consultative process. This consultation has twin benefits - enhanced awareness and people's participation, and increased expectation with the hope that developed countries will provide support to reduce the adverse impacts of climate change, the climate vulnerable communities are increasingly facing. During its implementation, Nepal is experiencing co-financing for adaptation actions from LDC Fund, complex process to access funding, and communications amongst Parties, GEF and GEF IAs as major barriers. In other words, NAPA document preparation is comparatively easier than securing and transferring funds for NAPA implementation.
4. As NAPA focused on most urgent and immediate adaptation needs and climate change has affected peoples, their livelihoods and mountain ecosystems and increased snow and glacier melting process, Nepal underscores the importance of preparing and implementing NAPs to address climate change impacts through medium- and long-term adaptation planning process.

I. Views on the process to enable LDC Parties to formulate and implement NAPs, building upon their experience in preparing and implementing NAPAs.

5. The NAP process should be distinct and build upon the experience of NAPA preparation and implementation. The NAP process should not delay the implementation of NAPA priorities. The NAP preparation could benefit from experiences of the LDCs and the LDC Expert Group (LEG). Nepal believes that experience gained in NAPA implementation would provide a basis to prepare practical and implementable NAPs.
6. The NAPA was prepared in relatively short time period to identify most urgent and immediate adaptation actions. The NAP preparation process should, *inter alia*, adopt a more comprehensive vulnerability assessment through defined and user-friendly vulnerability assessment tools and downscaling of climate models. The NAP process should follow participatory vulnerability assessment and identification of medium- and long-term adaptation actions that counts on the challenges faced by the vulnerable communities, sectors and ecosystems.
7. The NAP process should be directed to strengthen national capacities at systemic, institutional and individual levels.

8. The NAPs formulation should be adequately funded to promote medium- and long term adaptation planning. In addition, Nepal emphasizes that the process must provide clear direction to provide long-term, scaled-up, predictable, new and additional finance for the implementation of NAPs. Up-front funds to national-level institutions and civil society for the planning process, particularly to ensure inclusive planning and consultations of vulnerable communities and populations, are critical in the process of developing NAPs.
9. The process should be country-driven, participatory, gender-sensitive and socially inclusive, and transparent as well taking into account indigenous knowledge and approaches that embrace vulnerable groups, communities and ecosystems. Meaningful participation of governmental and non-governmental organizations, academia, youth, private sector, indigenous people, disadvantaged and affected communities and the civil society at all levels will also ensure opportunities to build and/or enhance national and local capacity to address the challenges of climate change impacts. As a participatory approach based on national circumstances, the process should also promote synergy and strengthen linkages with national, regional and international organizations, centers and networks in order to enhance the development and implementation of NAPs, and ensure efforts are informative and mutually supportive.
10. In order to ensure coherence, the process should complement cross-sectoral approaches, recognizing the value of existing and future planned national and local climate change related policies and actions in coherence with cross-sectoral policies, plans and strategies like the National Plans, Sustainable Development Agenda, National Biodiversity Strategy and National Action Programme on land degradation, etc. Coordinating related strategies enables countries to capitalize on linkages among different sectors and to ensure the integration of adaptation into those plans. This can also promote implementation of good practices and enable effective and informed decision making. The process should also be coherent with relevant plans as elaborated under the UNFCCC, UN Convention to Combat Desertification, Convention on Biological Diversity and other MEAs (Multilateral Environment Agreements).
11. **Communications and Knowledge Management: Learning, Sharing and Documenting:** This process should aim for shared learning among LDCs and other developing countries taking into consideration the geography such as mountains, and lowlands. This is particularly important in countries with boarder communities and varied ecosystems that may be impacted by climate change.

II.Views on the modalities and guidelines for LDC parties and other developing country parties to employ the modalities formulated to support NAPs

12. Nepal believes that NAPs should be an iterative national process with periodic updating and review preferably once in a decade. It should not be an end in itself rather provide a strategic overview of adaptation needs linked to current climate projection models and a process for review along with monitoring and evaluation, capacity building and communication as climate science and knowledge on impacts.
13. This requires a participatory planning process combining available climate science, analysis, modeling and assessments, vulnerability analysis of existing medium- and long-term strategic sectoral plans and robust consultation and coordination across agencies and stakeholders as mentioned in Paragraph 9 above. It may need, for example, the development of processes for informed decision-making to enable trade-offs between present and future needs, upstream and downstream communities and so on.
14. **Modalities:** For the preparation and implementation of NAPs, the following modalities could be opted:
 1. An existing system, engaged in NAPA preparation process in LDCs or the climate change focal point of the Parties should be the focal agency for coordinating and facilitating the preparation and implementation of NAPs. At the national level, as per countries' processes (country-driven approach), the focal agency could set up a national multi-stakeholder NAP team. The NAPs could be prepared through the formation and mobilization of Thematic Working Groups (TWGs) of workable size. There might be core TWGs and wider reference group representing government organizations and civil society groups as mentioned in paragraph 9 above to add value to the process in preparing and implementing the NAPs.
 2. The NAP team should preferably work with the multidisciplinary teams of in-country experts which will carry out various assessments to prepare the NAPs. The assessments would include:

- a) Comprehensive vulnerability Assessment in different sectors to identify climate vulnerable communities, sectors and ecosystems and to provide medium- and long-term adaptation actions to address climate change challenges in geographical areas/sectors.
 - b) Detailed assessment of existing systems - institutions, policies, strategies, plans and programmes from climate change perspectives;
 - c) Gaps analysis amongst the relevant sector plans to know the coverage of climate impacts, and possibility for making socio-economic development and infrastructure climate smart and/or resilient.
 - d) Identify appropriate measures and indigenous practices to address medium- and long-term climate change impacts and adaptation actions and the required financial resources.
3. There should be a clear and transparent provision for adequate funding for NAP preparation with comprehensive analysis and implementation of adaptation actions.
15. **Guidelines:** The NAP preparation guideline should be user-friendly. Nepal emphasizes that the guidelines should clearly provide guidance in promoting country-driven and country-led approaches, adopting flexible procedures based on national circumstances, considering adequate participation of climate vulnerable communities and ecosystems (e.g., mountain, forests, watersheds etc.) and to be based on best available climate science. The guidelines should equally provide guidance in promoting participation of multi-stakeholders, particularly vulnerable local communities, be gender-sensitive and ensuring social inclusion. The guideline should also provide opportunities for ensure transparency and adopting multi-disciplinary approach, promoting shared learning, integrating performance monitoring and evaluation process, and promoting periodic/regular review and update for the medium- and long-term adaptation planning. Clear guidance on tools related to vulnerability assessment, prioritizing medium- and long-term adaptation actions, exploring finance, technology development and transfer, and implementation modalities would provide better opportunities to build in-country capacity, and ensure effective implementation of NAPs.

16 August 2011, Tuesday

Paper no. 9: Norway

Submission on National Adaptation Plans

The Cancun Agreements established a process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action (NAPA), as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. **Norway** welcomes the opportunity to provide its views on the process of developing national adaptation plans.

1. Adaptation planning is about identifying the impacts of, and vulnerabilities, to climate change and finding ways to address adaptation needs and is a continuing part of any countries or organisations work to adapt to a changing climate.
2. Climate change will affect almost all sectors of society and there is an inseparable link between development and adaptation planning. Planning for the future in sectors like agriculture, health, transport and construction without taking climate change into consideration will not be sustainable. Hence, adaptation planning must be firmly integrated and embedded into sectoral and development planning.
3. It is important that adaptation planning takes the sub-national level into account, and that adaptation plans are made as operational as possible. They should be developed in close cooperation with stakeholders to ensure local ownership. An important lesson learnt from the development of NAPAs has been to ensure that the document is well embedded in national and sectoral planning processes and that there is a strong sense of national ownership.
4. An integrated perspective on adaptation planning has at least two key implications for national adaptation plans. Firstly, adaptation planning cannot take place outside existing planning cycles and systems. Planning cycles and systems differ from country to country. Standardised processes or formats will consequently have very limited value. Secondly, sectoral and development planning are continuous processes and adaptation needs to be part and parcel of these processes. Norway is therefore of the view that the national adaptation plan should consist of guidelines to support adaptation planning processes rather than as a separate plan. Such guidelines should be generic in nature and avoid being prescriptive. At an overarching level climate change adaptation should also be integrated into national poverty reduction strategies.
5. Integrating climate change considerations into planning and decision making is a challenge for all Parties, in particular for the poorest countries. The highly local and contextual nature of climate change impacts and vulnerability, the time scale and uncertainty associated with climate change impacts, limitation in data availability as well as limited experience with climate change adaptation are just some of the issues that form part of an adaptation process. In our efforts to facilitate adaptation at country level through initiatives such as national adaptation planning within the UNFCCC context, one cannot assume that it is possible to capture all the impacts and vulnerabilities to climate change, but rather design the process in a way that allows adaptation processes to evolve as knowledge and experience is gained.
6. As we further consider national adaptation plans, it would be necessary to determine how international initiatives can be best designed to support national adaptation processes. Norway considers that there are several elements that may constitute the building blocks for the National Adaptation Plans initiative:
 - Climate change impact and vulnerability assessments, including experiences gained from national adaptation planning and implementation efforts;
 - Integrating climate change into sectoral and adaptation planning at the national and sub-national levels;
 - Coordination of climate change adaptation at national level through adaptation strategies; and
 - Communication of adaptation strategies, planning and implementation from national to international level

7. Many countries are well ahead with their adaptation planning and an increasing body of experiences is being accumulated. These experiences should be the starting point for the work on national adaptation plans as they should build on and not duplicate what is already working.
8. While some countries are in the process of integrating climate change adaptation into sectoral planning, others are just starting impact and vulnerability assessments. Hence, any means of support must be developed in a flexible manner.
9. On modalities for the national adaptation plans the following elements could be considered:
 - Assistance for the development of national guidelines for inclusion of climate change adaptation in sub-national development plans;
 - Technical support to countries for the development of sectoral adaptation plans for selected key sectors like agriculture, water, health and energy;
 - Support to education for climate change adaptation at tertiary level, including university and vocational training; and
 - Assistance to ensure synergies between the outcomes of the analytical work related to loss and damage caused by climate change and the adaptation planning processes.
10. Norway recognises that climate change impacts pose a significant challenge for all countries, in particular developing countries. However, Norway considers the intention of the paragraph 15 of the Cancun agreement, 1/CP/16, to be clear. The Cancun Agreements prioritise the least developed countries, which are particularly vulnerable to climate change. We especially recognise their need for capacity building and technical support. Our understanding of the reference to other developing countries in paragraph 16 is that these may wish to utilise these guidelines, but that the focus of the process will be the least developed countries.
11. At the seventeenth Conference of the Parties (COP-17) in Durban Norway expects that there will be a decision on a way forward for the process on national adaptation plans. This decision should include the identification of guiding principles, as well as building blocks for the national adaptation plans' guidelines and means of implementation. As mentioned by several Parties at the Bonn session in June, the Least Developed Countries Expert Group may be the correct forum to take the National Adaptation Plans forward from Durban. Hence, a mandate to do this will be essential outcome from COP-17.

Paper no. 10: Sri Lanka

National adaptation plans

b) The modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans

Adaptation to the adverse impacts of Climate Change is very important to safeguard the lives and livelihood of people and maintain sustainable development of highly vulnerable countries like Sri Lanka. Most of the vulnerable countries already prepared National Communications identifying adaptation needs, adaptation strategies and action plans. However, those countries are unable to implement these strategies and action plans due to financial constraints.

Therefore, there is an urgent need to identify and prepare appropriate modalities and guidelines to provide necessary supports for implementation of those strategy and action plans with an effective financial mechanism.

Paper no. 11: United States of America

Submission by the United States of America

Least Developed Countries Process for National Adaptation Plans

23 August 2011

The United States welcomes the opportunity to provide a submission, pursuant to paragraph 7 of FCCC/SBI/2011/L.16, regarding its views on:

- (a) The process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programs of action; and
- (b) The modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans.

The Process

It is the view of the United States that the process to enable least developed country (LDC) Parties to identify medium and long-term adaptation needs and develop and implement strategies and programs to address those needs (hereby referred to as “NAPs process”) should help LDCs *better integrate adaptation into their existing and ongoing development, poverty alleviation, and climate change strategies and plans*. As countries, cities, and communities in the developed and developing world have demonstrated, integrating adaptation planning into existing planning processes, such as Poverty Reduction Strategies, Low Emissions Development Strategies, and national sectoral and cross-sectoral development plans, can be more effective at reducing the risk of climate change to vulnerable populations and sectors than creating new stand-alone plans or separate processes.

In addition, given that countries are each at different stages of addressing climate risks in their development planning and budgeting, it is also the view of the United States that LDC Parties should have the *flexibility* to organize their NAPs process to best fit their local context and circumstances.

Some countries, for example, are already beginning to integrate short- and long-term climate risks into national development and sector-based planning and policymaking. The NAPs process should build from these efforts. The government of Mali, for example, brings together multiple governmental agencies with donors and civil society to translate seasonal rainfall forecasts for farmers, significantly increasing crop yields. The government of Bangladesh has developed a comprehensive disaster management program that has saved tens of thousands of lives. The NAP process should build on these kinds of successes. LDC Parties can identify ways in which to further strengthen existing integration efforts as well as replicate what is working in other sectors through the NAPs process.

LDCs can use the analyses of impacts and vulnerability from the National Adaptation Programs of Action (NAPAs) as a solid foundation for medium- and long-term planning. Countries participating in the Climate Investment Fund’s Pilot Program on Climate Resilience did just that, and were, as a result, able to develop investment plans, grounded in an analysis of problems and priorities, more quickly than those countries that had not developed NAPAs.

The NAPs process should not divorce short-term planning from medium and long-term planning (another reason why the NAPs process should build from the NAPAs). Farmers, for example, generally plan for agricultural production on a daily and seasonal timescale. However, the agricultural sector should also be taking into consideration impacts that will likely occur at longer timescales, such as saltwater intrusion and increasingly drier or wetter conditions. Policymakers should make incremental decisions that avoid locking in future vulnerability. The Thames 2100 project in the UK is often cited as an example of such flexible decision-making. The project identifies adaptation measures over time, with options becoming increasingly aggressive if the risk of flooding in London increases due to sea level rise; bridges are designed in a way so that they can be raised should the sea rise above expected levels.

The NAPs process should include an independent technical review to ensure that planning is broadly consistent with the goals articulated in the Cancun agreements and the guidelines and modalities that are to be elaborated in Durban. It should also allow LDCs to adjust priorities and programs as climate information improves and lessons are learned.

Finally, the NAPs process should take into consideration the significant investments made by the Climate Investment Fund through the Pilot Program on Climate Resilience in 18 countries, eight of which are LDCs. Parties should give due consideration to prioritizing support under the NAPs process to LDCs that have not benefited from the Pilot Program on Climate Resilience, given that the Pilot Program on Climate Resilience is intended to provide these LDCs with the basis for addressing short, medium and long term actions on climate adaptation as part of national development strategies, policies and plans. LDCs that are benefiting from the Pilot Program on Climate Resilience could come into the NAP process at a later stage. In those LDCs, it is critical, however, that the NAP process not replicate or undermine ongoing efforts, but rather build upon the inter-ministerial decision-making platforms, stakeholder consultations, priority setting, and investment plans already underway.

Guidelines

The guidelines for the process to develop NAPs are, in the U.S.'s view, the specific steps and actions that LDCs can take in order to integrate adaptation into their existing and ongoing development, poverty alleviation, and climate change strategies and plans – with the objective of identifying medium- and long-term adaptation needs and developing and implementing strategies and programs to meet those needs.

Those key steps and actions include:

1. Understanding of:
 - i. Economic drivers and development priorities
 - ii. Current and future climate risks, vulnerabilities, and impacts; and
 - iii. Institutional capacities, gaps, and needs to address those risks, vulnerabilities, and impacts.
2. Building capacity for:
 - i. Communication about and coordination of adaptation among government agencies and ministries
 - ii. Improved knowledge, awareness and skills for effective decision-making that takes climate change into consideration
3. Setting priorities for adaptation action
4. Developing and implementing strategies and plans that are robust under multiple climate scenarios and address climate extremes, variability, and longer-term changes
5. Measuring, evaluating, and learning from progress in order to improve and adjust plans

The NAPs process should encourage governments to explicitly integrate these steps and actions into their countries' development, poverty alleviation and climate change priorities, goals and objectives. It should also encourage governments to consult and engage with local governments and non-governmental stakeholders, such as vulnerable populations, universities, and the private sector throughout the NAPs process. This will improve problem identification, priority setting, decision-making, implementation, monitoring, and evaluation. It will also help manage trade-offs and reduce the risk of conflict, for example, within or between communities and sectors.

Modalities

The Convention can facilitate the NAP process through reporting, scientific and technical support and capacity building. A decision reflecting the following could be adopted in Durban:

Reporting. National communications guidelines on adaptation can be improved so that they capture and support the NAPs process – for accountability as well as for the exchange of knowledge, lessons and good practices. The Consultative Group of Experts helps NA1 Parties in preparation of their National Communications, including the elements on adaptation and vulnerability assessment and reporting. The Consultative Group of Experts may be able to contribute to the process for updating national communications guidelines, in coordination with the Adaptation Committee, once it is up and running. LDCs could report on progress made in the NAPs process through the National Communications. The Secretariat can also make information available about the NAPs process via the UNFCCC website as well as other avenues.

Scientific and technical support. The Nairobi Work Program will likely consider taking a sectoral approach in its next multi-year work plan. As such, it may be well suited to identify the tools and resources that would support the more effective designing by LDCs of plans that are robust under multiple climate scenarios. In any event, LDCs will need to build their understanding of the tools and resources available, such as decision-maps, mapping and visualization tools that display key climate data and impacts, screening tools to assess development projects for sensitivities to climate change, adaptation decision matrixes, and tools to estimate the costs and benefits of adaptation options, to help them make cost-effective short- to long-term decisions that keep open future options as climate impacts unfold.

Capacity building. The Least Developed Countries Expert Group (LEG) can help build the capacity of LDCs to effectively use decision-support tools and the best available science and local knowledge, as appropriate and when available, as well as to manage uncertainty when they are not. The LEG could do so by developing and disseminating more detailed guidance and materials to support the efforts of LDCs in the NAPs process, as appropriate. To do so, they can draw, inter alia, on good practices and lessons learned from NAPAs and other fora, such as the Climate Investment Fund's Pilot Program on Climate Resilience, and other innovations.

Paper no. 12: Food and Agriculture Organization of the United Nations

A submission to UNFCCC Secretariat on processes to support the formulation and implementation of national adaptation plans in answer to the invitation of paragraph 7 of Decision FCCC/SBI/2011/L.16

In response to the invitation of the Subsidiary Body for Implementation (SBI) to submit views on (a) the process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing National Adaptation Programmes of Action (NAPAs); and (b) the modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans, the Food and Agriculture Organization of the United Nations (FAO) herein submits its views on processes to support the formulation and implementation of national adaptation plans.

FAO would first like to stress the importance of the agricultural sectors - agriculture, forestry and fisheries – for national adaptation plans. Climate change has strong impacts on the agricultural sectors, both by modifying or degrading productive capacities and the underlying natural resource base and by directly and indirectly increasing the risks associated with production and environmental sustainability. It is important to note that developing countries that are particularly vulnerable to adverse effects of climate change are in that situation often because of their dependence on the agricultural sectors for their contributions to national economies and food security. Climate change-induced losses and damages in the agricultural sectors will be spread into the rest of the economy because of their importance to livelihoods, economic development and food security of the population in developing countries.

Bearing this in mind, FAO recommends that the process to formulate and implement national adaptation plans includes (1) the full incorporation of regional issues and perspectives, (2) adequate means of engaging stakeholders from all sectors, (3) the definition of clear principles, methodologies and tools for vulnerability assessment, (4) assistance from a collaborative team of national and international organisations, and (5) appropriate and dedicated funding sources.

1. *FAO recommends that regional issues and perspectives be fully incorporated in the formulation and implementation of national adaptation plans*

National adaptation plans must take into account broader perspectives at regional and sub-regional levels. Addressing food security and ecosystems concerns in the medium to long term will require that national adaptation plans consider larger space scales than previously included in the NAPAs. This is first because some issues cannot be addressed solely at national level, for instance trans-boundary issues, spread of diseases and migratory species. In addition, countries are likely to share increasingly similar concerns with their regional neighbours in relation to climate change adaptation.

2. *FAO recommends the use and development of adequate means of engaging stakeholders from all sectors in the formulation and implementation of national adaptation plans -*

NAPAs have demonstrated the importance of ensuring a strong engagement of national stakeholders from all sectors in the process of identifying priority actions. Experience has, however, shown that some sectors were better prepared than others to actively and effectively take part in climate change adaptation planning. Underlying governance issues (e.g. insufficient cooperation and coordination among line agencies) have also constrained the development of NAPAs. Sector-specific plans are needed to ensure that traditionally under-represented systems/communities do not remain under-represented in adaptation plans.

Further, the difficulties encountered in engaging stakeholders are likely to increase in the context of national adaptation plans. NAPAs have essentially been addressing immediate concerns that stakeholders could easily grasp and on which they could have a clear position. Ensuring the same level of stakeholder involvement in national adaptation plans - and enabling the development of medium to long term plans that are soundly linked to and building on short term climate change adaptation planning and actions - will require providing stakeholders with “a vision of the future” or a range of plausible futures. Possible means of achieving this include the provision of

projections at local level of future impacts and vulnerabilities, clear and understandable explanations of the concept of uncertainty and ways to manage it for decision-making.

3. *FAO recognises the importance of impact and vulnerability assessments for national adaptation plans and recommends the development of clear principles, tools and methodologies*

Identifying priority actions for national adaptation plans is likely to prove more difficult than in the context of NAPAs, due both to the longer timeframe and the need for considering uncertainties inherent in future projections of climate change. Impact and vulnerability assessments will thus be even more important and should address appropriate temporal and spatial scales. There is a need for more integrated assessments that are better linked to policy and institutional needs for adaptation actions. Such assessments in turn will require the development of clear methodologies (including a commonly agreed definition or framework of vulnerability) and of clear guidance on good practices and available tools adapted to the various sectors and sub-sectors including agriculture, forestry and fisheries.

4. *FAO recommends that the process to formulate and implement national adaptation plans be supported by a collaborative team of national and international organisations*

The formulation and implementation of national adaptation plans will also require the involvement of all relevant national and international organisations in a collaborative manner. The Least Developed Country (LDC) expert group has played an important role in the development of NAPAs and has contributed to strengthening the links between LDCs and the Global Environment Facility (GEF). The formulation and implementation of national adaptation plans should be supported by a similar body involving specialised UN agencies and regional networks.

5. *FAO recommends the development of appropriate and dedicated sources of funding for the formulation and implementation of national adaptation plans*

Appropriate and dedicated funding sources, such as the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF), will be needed to support both the formulation and the implementation of national adaptation plans. Integrating regional perspectives and supporting regional cooperative actions will also require additional funding for the development and implementation of a parallel and concurrent system of regional adaptation plans and ensuing actions.

Paper no. 13: United Nations Development Programme

Facilitator of Discussions on National Adaptation Plans

c/o: UNFCCC Secretariat
Martin-Luther-King-Strasse 8
D 53153 Bonn
Germany

15 August, 2011

Subject: Inputs to Subsidiary Body for Implementation (SBI) on (a) the process to enable least developed country (LDC) Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing NAPAs; (b) The modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans.

The United Nations Development Programme (UNDP) thanks the SBI for the opportunity to comment on the important work that is about to commence on National Adaptation Plans in 2011.

UNDP recognizes the value that National Adaptation Plans (NAPs) could potentially provide as a strategic national framework for climate change adaptation. In this context, it is important that further discussion on NAPs build on lessons learned from the design and implementation of the National Adaptation Plans of Action (NAPAs). UNDP's experience in supporting countries to both formulate NAPAs – in 30 countries—and access finance for implementing NAPA priorities is relevant for the discussion on NAPs.

Based on this experience, UNDP would like to suggest consideration of the following factors in the context of the NAP-related discussions:

- A. **Holistic Framework:** NAPs provide an opportunity for countries to affect a transformative shift or expansion of the national framework for climate-resilient development. Rather than only providing ad hoc short-term and project-based measures, the NAP process should advance holistic approaches to climate change. Parties may therefore want to identify the most efficient and effective delivery mechanisms and develop realistic implementation targets. In this approach, the NAPs focus on results as opposed to activities.
- B. **Strategic Approach:** To pursue a holistic framework, Parties may choose to focus on a strategic approach that builds ownership to spur cross-government action on climate change adaptation. NAPs would then go beyond discrete activities that are limited by a time bound period. UNDP is of the view that the NAP process ought to lead to more than a document or 'programme of action' as the main output, and further inform national strategic processes.
- C. **Access to finance, including the private sector:** The discussions on NAPs ought to be in the context of positioning countries to benefit from the emerging architecture on climate change finance. In a departure from the NAPA process, NAPs need to be conceptualized, formulated and eventually implemented with the recognition that finance is going to be available from a broad range of sources and funds, including the private sector. Specifically, engaging with the private sector could ensure that the public and private sector are pursuing common objectives in climate resilience and new products or services (such as green technologies, risk analysis, insurance) are available.
- D. **Consultative Process:** The NAPs, like the NAPAs, will benefit from an extensive consultative process during its formulation phase. At the same time, efforts should be made to promote engagement from an even wider cast of partners, especially drawing on sub-national government institutions, civil society, including women's groups and gender-focused organizations, and the private sector.
- E. **Long-term political ownership:** The NAP process should cultivate long-term political ownership. To ensure this ownership, a mechanism could be in place from the beginning of the NAP formulation phase. This mechanism can build on the NAPAs and complement the consultative process by targeting government officials and key development partners.

- F. **Analytic information:** The NAP process should also benefit from strengthened climate-related information that incorporates a substantive analysis of the short, medium and long term context. NAPs should incorporate a range of analyses already undertaken in National Communications, National Climate Profiles and Scenarios, and other relevant documents. There is also a need to disaggregate this data by gender, to ensure differing needs are met.
- G. **Institutional Coordination:** The NAPs provide for an opportunity to strengthen national systems and institutional capacity to make informed decisions on climate change and channel funds in an effective and transparent way. The process of NAP formulation can be the starting point for strengthening this capacity and promoting cross-governmental ownership of the process. Finance and Planning Ministries should play a more significant role than they did in the case of the NAPAs. Strong technical input and support from Environment Ministries and other line Ministries will be essential.
- H. **Link with ongoing National Development Processes (NDP) and Initiatives:** NAPs ought to be closely aligned (if not integrated) with national, sub-national and sectoral development priorities and plans, such as Green Low-Emission and Climate-Resilient Development Strategies. This includes alignment with the review cycle used for updating such plans. The strongest NAPAs are integrated into national and sectoral development plans with clear targets. To make this happen, countries may consider establishing cross-sectoral working groups, enhancing visibility at the political level, and strengthening the transparency and inclusiveness of the NDP. In this context, countries may wish to institute long-term (as opposed to project based) cross-sectoral platforms to facilitate NAP formulation, review, and oversight and avoid compartmentalization.
- I. **Consideration of Gender:** It is important for NAPs to be guided by gender equality principles. This means considering, assessing and analyzing the different gender-based vulnerabilities, coping abilities, capacities to adapt, and resiliencies in relation to climate change. There is also an opportunity to promote synergies between NAPs and gender in NDPs.
- J. **Partnerships with other Bodies and Processes:** It remains important to clearly indicate a relationship with other regional and international bodies that can contribute to capacity building in adaptation, such as the LDC Expert Group and the Nairobi Work Programme. It is also important to link up to and reference other international commitments and agreements including the Millennium Development Goals, Hyogo Framework for Action, Committee on the Elimination of Discrimination against Women (CEDAW), and others.

UNDP recognizes that the discussion concerning NAPs is still nascent and looks forward to hearing the expectations LDC Parties have for NAPs and the role the plans can play in supporting national adaptation efforts. UNDP is currently involved in discussions taking place in the context of LDCs through the Least Developed Countries Expert Group, and stands ready to assist Parties as requested, bringing to bear its knowledge and expertise. UNDP recognizes that NAPs can provide an important opportunity for countries to accelerate achievement of their national objectives and pursue Low-Emission and Climate-Resilient Development.

Paper no. 14: United Nations International Strategy for Disaster Reduction

UNISDR Submission to the UNFCCC concerning FCCC/SBI/2011/L.16 related to “views on the process to enable least developed country Parties to formulate and implement national adaptation plans, and on the modalities and guidelines available for LDCs.”

The following views were developed by the UNISDR based on consultations with Permanent Missions to the United Nations Office at Geneva, through the ISDR Support Group as well as with ISDR partners through the Inter-Agency Group on Disaster Risk Reduction. In particular, contributions were received from Switzerland, Germany, China, Panama, Philippines, the Global Facility for Disaster Reduction and Recovery of the World Bank (GFDRR), UNU and WMO.

The views specifically focus on the ways that activities and institutions engaged in reducing risk to natural hazards can support climate change adaptation.

<p>Decision and Relevance to ISDR</p> <hr/> <p>Subsidiary Body for Implementation Thirty-fourth session, Bonn, 6–16 June 2011 Agenda item 8 (a) and (b) National adaptation plans (FCCC/SBI/2011/L.16)</p>	<p>Views from UNISDR to strengthen integration of disaster risk reduction</p>
<p>Paragraph 7 invited Parties and relevant organizations to submit to the UNFCCC secretariat, by 15 August 2011, their views on:</p> <p>(a) The process to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing NAPAs;</p> <p>(b) The modalities and guidelines for least developed country Parties and other developing country Parties to employ the modalities formulated to support national adaptation plans.</p>	<p>UNISDR views and information from disaster risk reduction capacities, tools and institutions to assist least developed country Parties and other developing country Parties formulate and implement adaptation plans:</p> <p>a) Views on the process to enable least developed country Parties to formulate and implement national adaptation plans:</p> <ul style="list-style-type: none"> ▪ The Hyogo Framework for Action and national institutions engaged in its implementation have proven effective mechanisms to address the risk of natural hazards in national and local development planning. National Platforms for Disaster Risk Reduction, established in the framework of ISDR, might serve as a model for national multi-stakeholder engagement. Synergy with these should be explored in the context of designing and implementing national adaptation plans. ▪ In addressing climate-related disaster risks, Parties should integrate their climate change adaptation plans with disaster risk reduction national plans, both at the planning level and during implementation. This will assist decision makers to select effective approaches from risk prevention, response and transfer (insurance) measures when planning adaptation strategy. This has proven effective in a number of countries such as the Philippines and Vietnam. <p>b) Views on the modalities and guidelines to employ the modalities formulated to support national adaptation plans:</p>

	<ul style="list-style-type: none">▪ Parties should build on existing disaster risk assessments, which are based on disaster loss data and when available risk modelling, to inform identification of actions aimed at reducing the risk of extreme climate events, when developing national adaptation plans. Such assessments can be found on www.preventionweb.org.▪ National reports on progress against the implementation of the Hyogo Framework for Action can further guide identification of gaps as well as lessons in addressing climate extreme events, which would be a useful input to adaptation planning.▪ National adaptation plans should be informed by and integrated with national development strategies, and vice versa. Methodologies for and experience from such upstream integration addressing disaster risk reduction and climate change adaptation in <i>Poverty Reduction Strategy Papers</i> (PRSP), World Bank <i>Country Assistance Strategies</i> (CAS) and United Nations <i>Development Assistance Frameworks</i> (UNDAF) exist to support these efforts.
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Paper no. 15: World Health Organization

WHO SUBMISSION ON NATIONAL ADAPTATION PLANS

The World Health Organization welcomes the opportunity to submit its views on the National Adaptation Plans.

Human health is one of the key priority areas of the UNFCCC and it is a central concern in climate change, highlighted in Article 1 of the UNFCCC. Beyond economic and environmental impacts, the well-being of the human population and the capacity of the human race to survive are at stake. Health impacts are among the highest concerns of the general public in relation to climate change, and surveys of UNFCCC delegates show that they consider that health issues should have a higher prominence in UNFCCC discussions¹.

Strengths and weaknesses of current coverage of health in national adaptation plans

The UNFCCC has guided countries to include health within their national adaptation assessments. To assess the degree to which this has been reflected in national adaptation planning, particularly in developing countries, WHO undertook a review of the coverage of health in National Adaptation Programmes of Action (NAPAs) in September 2010. Nearly all of the 41 NAPAs reviewed consider health as being one of the sectors on which climate change will have an impact. However only just under a quarter of the NAPAs were considered to be comprehensive in their health-vulnerability assessment². Notable gaps in vulnerability assessments include a lack of baseline epidemiological data for the diseases and medical conditions specified that would be affected by climate change, and a description of the trends anticipated in these disease and conditions. In most plans, there are no specific health protection objectives, targets or articulation of the public health strategy or national disease prevention and control programme under which they would be implemented. In many instances this results in inadequate adaptation actions and the proposed projects are for the most part insufficient in terms of scope, size and resources.

Important implementation activities are taking place on climate change and health, but these are largely disconnected from the previous NAPA process. A recent systematic scoping review of intervention projects which aim to protect human health from climate change identified more than forty eligible health focused intervention projects, including several of significant size³. However, none of these is directly linked to the outcome of the NAPA process. This disconnect may help to explain the relative lack of investment in health protection from climate change. It is estimated that current international support for health adaptation is only approximately 0.5% of the health-damage costs sustained from climate change.

Possibilities for improved coverage of health within national adaptation plans

In recent years the health community has become much more engaged on climate change issues. There are now strong political mandates at the global level, through a 2008 World Health Assembly resolution (WHA 61.19)⁴ on climate change and health, and through equivalent commitments at Regional level. These include, for example, the Libreville Declaration and the Luanda Commitment, through which African Ministers of Health and Environment have jointly proposed a regional framework for health adaptation to climate change, with similar commitments being made in the Americas, European, Eastern Mediterranean, South-East Asian and Western Pacific Regions.

¹ Singh, S., U. Mushtaq, et al. (2011). "The importance of climate change to health." *Lancet* **378**(9785): 29-30.

² Manga, L., Bagayoko, M. et al. (2010). Overview of health considerations within National Adaptation Programmes of Action for climate change in least developed countries and small island states. http://www.who.int/phe/Health_in_NAPAs_final.pdf.

³ The review identified 18 currently active implementation projects in non Annex-1 countries that have a budget of over US\$500,000. This included seven countries participating in a project on health adaptation to climate change in Eastern Europe and Central Asia coordinated by the WHO Regional Office for Europe, funded by the German Government; seven in a global project coordinated by WHO and UNDP funded by the GEF; three run by WHO country offices funded by Spain through the MDG-F, and one run by UNDP funded by the GEF.

⁴ http://www.who.int/globalchange/A61_R19_en.pdf.

These political mandates are also supported by advances in technical guidance, and in health adaptation projects. The health community is therefore much better equipped to engage in the new round of national adaptation planning that is now under discussion.

WHO would therefore propose to support national adaptation planning through the following activities, consistent with the goals of the UNFCCC, and the requests of WHO Member States through the above mentioned World Health Assembly Resolution:

- 1) Awareness raising and guidance to support greater health sector engagement in climate-change adaptation programming at national, regional and global level.
- 2) Technical and policy support for vulnerability, impact, and adaptation assessment based on newly-revised guidance produced by WHO and the Pan-American Health Organization, following consultation with health and environment practitioners.
- 3) Integration of adaptation measures within a comprehensive approach to strengthening health systems to protect populations from the impacts of climate change.
- 4) Sharing of lessons learned and technical resources from the range of WHO pilot projects on health adaption to climate change, through the Nairobi Work Programme and other UNFCCC mechanisms, as appropriate.
- 5) Technical and policy support for new projects and programmes on health adaptation to climate change, following the mandates and mechanisms outlined above.

The actions outlined above would be facilitated by:

- 1) Continuation of UNFCCC endorsement for greater engagement of the health community in adaption planning at national, regional and global level.
- 2) Continued efforts by the UNFCCC and its parties, to align policy and technical guidance for climate change adaptation with health and wider sustainable development goals, in line with Article 4.1 (f) of the Convention.
- 3) Identification of health protection among the priorities for support under the funding mechanisms of the UNFCCC.

Paper no. 16: International Union for Conservation of Nature

Submission by the Gender Office of the
International Union for Conservation of Nature – IUCN

Draft Guidelines to Mainstreaming Gender in the Development of National Adaptation Plans (NAPs)

United Nations Framework Convention on Climate Change (UNFCCC)
August 2011

The International Union for Conservation of Nature (IUCN) takes pleasure in submitting the following proposal concerning draft guidelines for the incorporation of gender in the development of National Adaptation Plans (NAPs) to the Secretariat of the United Nations Framework Convention on Climate Change (UNFCCC), following the invitation by SBI directed to Parties and relevant organizations to submit their input to the the development of draft guidelines for the elaboration of National Adaptation Plans (NAPs) by 15 August 2011.

Rational for Gender Mainstreaming

Gender mainstreaming implies a logical, interconnected, coherent and comprehensive inclusion of gender perspectives into the process of designing and implementing the NAPs. There is no single best formula for identifying the entities to be created to guide and implement the planning process – each country needs to set up structures best suited to their particular situation. Gender mainstreaming has to be carried out through the effective participation of stakeholders with gender expertise within the particular structure of institutions established.

Climate change will affect all countries, in all parts of the globe. But its impacts will be distributed differently among regions, generations, age classes, income groups, occupations and genders (IPCC, 2001). The poor, the majority of whom are women living in developing countries, will be disproportionately affected.

Because climate change affects women and men differently, a gender equality perspective is essential when discussing policy development, decision-making, and strategies for mitigation and adaptation. Women are not just helpless victims – they are powerful agents of change, and their leadership is critical. Women can help or hinder strategies related to energy use, deforestation, population, economic growth, science and technology, and policy making, among other things.

In 2001, Parties to the UNFCCC adopted guidelines¹ for the preparation of national adaptation programmes of action (NAPAs) with insufficient reference to gender and gender equality. The subsequent result was that only 17% of NAPAs by countries incorporated a gender perspective, despite the fact that gender disparities remain among the deepest and most pervasive of all inequalities and, in fact, hinder the best of development efforts profoundly. Furthermore, where gender was incorporated, women were portrayed as victims and not as possible contributors to adaptation and sustainable development efforts.

The UNFCCC CoP16 held in Cancun, Mexico in November/December 2010 under the Presidency of the Government of Mexico, marked a paradigm shift in our understanding of the value of gender mainstreaming in climate change efforts and initiatives and should henceforth be built upon.

Parties' Obligations to Gender Mainstreaming

The NAP should respond to the legal framework from a gender perspective that country has developed and signed. Gender has been the subject of much attention by the international human rights community.

¹ 8th Plenary Meeting of the UNFCCC, dated 10 November 2001 (Decision 28/CP.7, reference FCCC/CP/2001/13/Add.4, page 7–13).

The importance of mainstreaming gender for realization of human rights, sustainable development and/or poverty eradication has been recognized in a series of international instruments agreed to which Parties to the UNFCCC are signatories. These include, amongst others, Agenda 21 (United Nations Conference on Environment and Development, 1992); the World Conference on Human Rights (1993); the Beijing Platform for Action (Fourth World Conference on Women, 1995); the 1997 Convention on the Elimination of All Forms of Discrimination Against Women; the Millennium Declaration (2000).

It is therefore fundamental that the NAP-process acknowledges the international and national policies and laws such as women rights chapters and national women programs, regulations and rules, thus promoting:

- i. the equitable use, management and control of natural resources;
- ii. disaster risk reduction
- iii. equitable participation in decision making
- iv. equitable distribution of benefits that the country has signed; and
- v. other constitutional mandates.

The majority of nations affiliated with the UN have ratified the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). This Convention compels governments to take positive action to prevent discrimination towards women. This includes the need to ensure the full and effective participation of women in decision-making processes in an equal manner to men. The principles of CEDAW are increasingly finding their way into national constitutions, laws and other policy frameworks. The Convention has also been called upon to help resolve cases involving discrimination against women in courts around the world.

It is also important to recognize that the Parties to the UNFCCC already recognized the importance of gender in the Cancun Agreement. The Cancun Agreement is the first global policy on climate change that includes references to gender. These references extend across critical areas of negotiations: the shared vision, adaptation, REDD+, mitigation, technology, capacity building, as well as in the preamble.

MAINSTREAMING GENDER INTO NATIONAL ADAPTATION PLANS

I. Concept/Planning Phase

Institutional Structure

There are some key considerations in the design of the institutional structure that are considered as minimum requirements for successful mainstreaming of gender. It is advisable that at least one institution participating in the NAP process should have an explicitly stated organizational mandate for gender mainstreaming.

Steering Committee

It is essential to ensure the presence of - and commitment to - gender equality at the highest political level in the development of NAPs. Indeed, the Ministry of Women's Affairs or equivalent institution and principal organizations dealing with gender equality should be included in the Steering Committee in order to ensure that gender equality becomes an integral dimension of the strategy and action plan development. The inclusion of such organizations brings multiple benefits: these organizations supply data and information on the situation of women; they ensure harmonization of NAPs with other gender-related governmental policies; they enable a closer relationship with national and local organizations and networks working on gender; they ensure a "top-down effect" – gender being part of the high-level guidance that will impact the whole process of NAP development.

CHECK LIST

1. Key considerations in the design of the institutional structure and institutional capacity

- Does the senior management demonstrate commitment to gender equality?
- Is the equitable participation of women within the institutional structures ensured?
- Is there a balanced representation of women and men in the senior management?
- Are relationships established with specialized organizations dealing with gender equality?
- Is gender tailored training provided for staff?
- Is sufficient gender expertise and allocation of human and financial resources ensured?
- Whether, and which, gender guidelines are used.
- Are gender criteria for monitoring and evaluation applied?

2. Principal planning entities and individuals

- Does the Steering Committee include: (1) representatives of the Ministry of Women's Affairs or equivalent, (2) representatives of the main NGOs dealing with gender equality, (3) an equitable number of women and men?
- Is the National Project Director: (1) "gender-sensitive", (2) supported by gender experts?
- Is the national Project Manager/Lead Consultant: (1) "gender-sensitive", (2) supported by gender experts?

Stocktaking and Assessment

It is necessary to consider not only carrying out an inventory of the adaptation components of each country, but also to include information about the economic, social and cultural relations which determine the rapport of different social groups, such as women and men, and to their environment.

Gender-responsive stocktaking and assessment should reveal existing inequities between men and women in their relations with the components of adaptation, and bring into focus those areas recognized as the women's domain, which have traditionally been invisible or neglected by strategy planners. Stocktaking, as a functional part of strategy development, should identify problems, needs and potentials whereby the adaptation plan can be based on and facilitate the adoption of decisions which contribute to achieving equality, as well as a sustainable, effective and efficient national adaptation plan.

Disaggregated Data by Sex

The disaggregation by sex of qualitative and quantitative data is a prerequisite for gender-sensitive stocktaking and assessment. However, accurate data are often neglected. Until now, the work on gender statistics in preparing NAPAs has been largely confined to demographic data alone.

Sex-disaggregated data means data that are cross-classified by sex, presenting information separately for women and men, boys and girls. Incorporating data disaggregated by sex has the following advantages:

- 1) It highlights the different conditions of women and men, including changes over time;
- 2) Allows the impacts of national adaptation plans on women and men to be identified and tracked;
- 3) Enables options to be developed that are effective and beneficial for both women and men;
- 4) Allows resources to be allocated in a fairer way for both women and men; and
- 5) Supports gender-responsive evaluation and monitoring.

In fact, there is a clear need for a more systematic approach to gathering data that genuinely describes women's needs and priorities in the area of adaptation. Such data should be obtained from the communities themselves. It is essential to overcome the general assumption that women are in agreement with men which often leads to a failure to search for and systematically include their opinions. However, merely disaggregating data by sex is insufficient because the conceptual framework and instruments themselves are gender-biased.

What is needed is a thorough revision of the data collection framework and processes from a gender perspective and a systematic inclusion of gender considerations into each specific data collection instrument.

CHECK LIST

3. Gender-Responsive Stocktaking and Assessment

Does the stocktaking and assessment provide information on the following?

- Data on the use of and access to biological resources, disaggregated by sex – what is used by whom, by women or men?
- Data on the differentiated impacts of disasters amongst women and men;
- Data on gender-based differentiation in disasters and other vulnerabilities;
- Determine the vulnerability of women and men to the risk;
- Map and document the gender differentiated vulnerabilities (i.e. physical, social, economic, cultural political and environmental);
- Identify the capacity and available resources for managing and reducing vulnerability;
- Include the traditional knowledge and perception of women in the analysis and evaluation of the characteristics of key risks;

4. Basic Considerations for Data Disaggregated by Sex

- Are all statistics on individuals collected and presented disaggregated by sex.
- Have specific efforts been made to identify gender issues and to formulate concepts and definitions that capture the differences between women and men in all aspects of their lives?
- Do data collection methods take into account stereotypes and socio-cultural factors that obstruct the collection of gender-sensitive data?
- Is the equitable participation of women in data-collecting activities ensured?

Plan Development

Gender-responsive stocktaking and assessment of national adaptation elements provide necessary information regarding the relations of women and men with the components of adaptation. However, the information gained from stocktaking is a tool rather than an end in itself. Essential entry points for gender mainstreaming in the strategy development process are:

1. Including gender equality as one of the cross-cutting objectives of the national adaptation plan; and
2. Conducting participatory strategy development with the equitable involvement of women.

Composition of the Planning Team

Since the action plan will elaborate on the type of activities to be carried out, it must involve organizations and individuals with gender expertise. Each of the strategy elements or themes require different knowledge in terms of gender. The most effective way of including gender in identifying the activities is to ensure the presence of one gender expert for the whole development process who can further identify the governmental and non-governmental organizations to be consulted with on each theme.

Overall Budget

Budget is one of the most important indicators of any commitment made by decision makers. In developing the action plan, the planning team has to dedicate resources to enhance the promotion of gender equality. Gender-sensitive budgeting implies, first, analysis of the budget of all activities proposed to determine the differentiated impact on women and men of the budget; second, re-allocation of resources to achieve gender equality outcomes from the actions planned.

CHECK LIST

5. Overall budget

- Is gender budgeting applied?
- Are the differentiated impacts of the budget identified for women and men?
- Are the resources allocated to achieve gender equality outcomes.
- Are the necessary resources dedicated to gender mainstreaming at the organizational level?

II. Engagement Phase

Cross-Cutting Issues

It must be made clear to all potential NAP users that gender, as with climate change, is a cross-cutting issue. Conceptual clarity on gender is very important. Cross-cutting issues are those that impact in more than one field. Indeed, cross-cutting issues require action in multiple fields. In terms of adaptation thus it has to be integrated into all areas and strategy elements of the NAP.

Beyond emphasizing that it is a cross-cutting issue, two other aspects should also be highlighted, however:

(1) Gender brings about increased efficiency, effectiveness and sustainability of climate change and other sustainable development efforts; and (2) Second, the goal of gender mainstreaming is to empower women and reduce existing inequalities.

CHECK LIST

6. Gender as a Cross-Cutting Issue

- Is gender included in the NAP as one of the cross-cutting issues?
- Is conceptual clarity on gender ensured?
- Is convincing argumentation presented?

Participation

As regards participation, it is absolutely necessary to define its meaning: “participation is a social process through which the various members of the population, on behalf of their own interests (class, group, gender, among others), participate either directly or through their representatives, in the implementation of the various aspects involved in community life”.

The participation of women brings about the following main benefits: (1) understanding what kinds of activities are carried out by women, (2) understanding the needs and interests of women; and (3) incorporating the knowledge possessed by women.

One of the most significant inequalities between women and men is the lack of female participation in decision-making processes related to their lives and communities. It is frequently assumed that women are in agreement with community leaders or that one single woman, such as the wife of a community leader, can represent all women. Participatory strategy design means bearing in mind that communities are not composed of one homogenous group and differences exist also among women. It is necessary to make clear that the presence alone of women does not guarantee the benefits of participatory strategy development if their opinions, needs and interests have not been expressed, considered and taken into account.

Commitment at the Highest Level

The Presidency or another relevant delegated authority such as, for example, the Ministry of Women's Affairs or an equivalent entity should be actively involved in the plan development activities. As gender is a cross-cutting issue, where needed, a gender expert should also have the mandate to engage in discussions with other relevant ministries.

The development of the national adaptation plan also involve the introduction of new and the amendment of existing, policies, laws and institutional mandates. These new regulatory activities provide the chance to include gender equality and equity as objectives. Doing so will enhance the coherence between the different sectors and contribute to the adoption of a comprehensive gender approach.

The representation of women is required both from the regions and from the capital including participants from the governmental, civil and business sector. As all parties, women must have the possibility to present their views about the different options. Conducting a gender analysis should be a prerequisite for examining policy alternatives in the formulation of the national adaptation plan. It must be understood that gender considerations are not some extra that can or cannot be done, but an essential prerequisite for efficiency and sustainability. Therefore, gender should be one of the main criteria in evaluating the options and not a marginalized issue.

CHECK LIST

7. Representation at Workshops

- Is the representation of women ensured both in national and regional workshops, and female participants drawn from the governmental, civil and business sectors?
- Is gender equality one of the major criteria for the evaluation of options and conditions for approval?

Identification of Stakeholder Groups

Women should be considered as one of the major stakeholder groups with equal importance compared to that of men. In research, women's groups should be identified and contacted at a local level. It also implies taking into account the traditional "spaces of women", e.g., schools, water points, and agricultural land. Women's organizations can be of significant help when approaching local women, extracting information/data and obtaining political buy-in at the local level.

The individuals and institutions invited should include the main interest groups in areas concerning climate change. From a gender perspective, this must include representatives from the governmental sector (the Ministry of Women's Affairs, gender focal points of other ministries such as agriculture, environment, etc. or an equivalent entity) and from the civil society organizations focusing on gender equality and associated sectors, such as agriculture, water management, disaster risk reduction, etc.

CHECK LIST

8. List of Potential Stakeholders with Gender Expertise

Are the following organizations invited?

- Gender focal points in other ministries or departments;
- Development partners with a gender-equality mandate;
- A governmental or independent economist with gender expertise;
- Male and female representatives of private-sector interests;
- An umbrella organization of women's NGOs;
- NGOs or lobby groups with gender expertise;
- Any NGOs or community groups that represent men's gender interests;
- Relevant sectoral or "special interest" NGOs that have an interest or experience in gender issues;
- Human rights groups or advocates;
- Think-tanks or policy analysts with experience and expertise in gender issues; and
- Academics or researchers from university Gender Studies Department(s).

Women representatives should be selected to participate in the dialogue and their participation should be supported by equity measures, if necessary (e.g., preparation for the activities, training, capacity building, childcare assistance, security, transport, an enabling environment, etc.).

Standards of gender equality and -equity require women's participation in all fora. The facilitator has to underline the importance of the participation of women and ensure that they can present their views and participate in the discussions. Ensuring women's participation means that their views should be taken into account and be visible in the plan adopted.

CHECK LIST

9. Selection of Women's Representatives at Workshops

- Have representatives of women's groups been selected to participate in workshops?
- Is the participation of representatives of women's groups supported?
- Are women's groups represented?
- Is proper consideration and attention given to the representatives of women's groups? !
- Are the views of women being discussed and reflected in the text adopted?
- Is gender balance in the workshops ensured?
- Is the participation of women supported?
- Have the necessary equity measures been adopted?

Capacity Building of Women's Groups

The capacity of women and women's groups must be strengthened to allow them to take informed decisions, align efforts and impact national and international mechanisms that result from the NAP.

CHECK LIST

10. Build the Capacity of Women Groups to Engage Meaningfully in the NAP Process

Have the Following Actions Been Taken to Ensure Meaningful Participation by Women?

- Build the capacity of women- and associated umbrella organization to engage optimally. The purpose of the capacity building process is to serve as a decision support tool for women to choose appropriate entry points that will enhance efficiency and effectiveness of the NAP.
- Conduct training with women and women organizations at the required level. Women's needs, - perspectives and -strengths in climate change adaptation will be recognized and collected for use in furthering the understanding of the importance of gender in the NAP.
- To provide national and local women's groups with a platform for dialogue, exchange of experiences, and the development of best practices, that link strategically with elements of the NAP.
- Facilitate open spaces for constructive dialogue with decision-makers so that women's needs, - perspectives and -strengths as agents and leaders of change in climate change action are taken into account.

III. Drafting/Elaboration Phase

Stages and Steps of Plan Development

The process of plan development and participatory methodologies to be applied at the time of elaboration of the plan might be very different from country to country, as the needs and priorities of a small island or a federal state cannot be the same.

However, the steps presented here can be adapted to these particular needs. Concerning the first multi-stakeholder workshop, two questions are crucial from a gender perspective: (1) setting the objectives and priorities of the NAP; and (2) inviting organizations with expertise on gender and participation of women's groups.

Priorities and Objectives

Identifying priorities and objectives is of critical importance as the plan can be seen as the road to achieving this set of objectives: experience shows that there is little if any hope that the national adaptation plan will promote gender equality if it is not explicitly stated.

As gender is not a separate strategy element, but a cross-cutting issue that should be integrated into all elements and sectors, it is essential to include it amongst the priorities and objectives and clearly state its cross-cutting nature in the text. Information gathered on gender inequalities should be presented as part of the socio-economic background in relation to plan elements. The goal is to translate the findings of the stocktaking phase on inequalities between women and men into objectives promoting gender equality. It is very important that the definition of national priorities and plan elements is as participatory as possible. It is necessary to reach consensus on the objective of gender equality and to make clearly understood the reasons behind its introduction in order to gain the support of all stakeholders.

CHECK LIST

11. Stakeholder Consultation with a Gender Perspective

- Stakeholder participation – Is the effective participation of women ensured for a better identification of the problem(s)?
- Are women involved in analyzing the direct and indirect causes of the problems?
- Do women have a say, as one of the main stakeholder groups, in defining the objectives?
- Are women involved in identifying the possible options for achieving objectives?
- Do women’s needs and interests receive the same consideration as those of men in analyzing the advantages and disadvantages of the options?

At the appropriate time the full planning team should meet to review the workshop results. If gender considerations were taken into account during the whole planning phase, the inclusion of a gender perspective is not difficult at this juncture.

CHECK LIST

12. Finalizing the National Adaptation Plan

- Is a systematic approach for the inclusion of gender applied?
- Is gender equality taken into account in elaborating the “general” sections?
- Has sex-disaggregated data been used?
- Do all strategies directly or indirectly address gender inequalities?
- Has gender-sensitive language been used?

Systematic Consideration of Gender During the Finalization of the Text

It is essential to understand that gender mainstreaming should not consist merely of mentioning some organizations with a gender equality mandate as stakeholders or by adding a single sentence on gender mainstreaming. Therefore, when writing the text of the national adaptation plan, at each section the following questions must be asked: “Where is the gender perspective? Do the proposed strategies and actions promote gender equality or worsen existing gender gaps?”

If this process was followed, the planning team has the necessary information at its disposal to meet climate change, sustainability and gender equality objectives.

Making Use of the Sex-Disaggregated Data Provided by Stocktaking

The stocktaking-phase should be presented rigorously using the sex-disaggregated data within each sectoral element of the plan, as far as possible. Unfortunately, such complete data are not always available. In such cases, the stocktaking-phase has to identify the gaps in the data where they occur.

Results have to be presented in such a way that they identify problems that can be turned into solutions.

Gender-Sensitive Language

A very important issue that gender-responsive strategy planners should keep in mind is the language used within the NAP. It is impossible to mainstream gender into NAPs that neglect women in the language. Using terminology such as “local populations” and “people” hides the differences between women and men.

Using the terms “women”, “men”, “girls” and “boys” brings them to the fore, and prevents the very significant differences in terms of opportunities, rights and obligations based on gender and age from being ignored. The other aspect of the language used in the NAP is to make careful use of such categories as “women and children” or “women and other marginalized groups”. Such language can undermine women being considered as important actors and agents of change in terms of adaptation.

Content of the NAP

This section shows how to adopt a systematic approach in incorporating gender into the text of the NAP. Gender should be visible in strategic parts of the document in a comprehensive manner. A brief description of the methodology followed in developing the NAP is generally provided in the text. From a gender perspective, this section of the NAP is expected to explain and show how the necessary gender expertise was ensured throughout the whole planning process.

The success of national adaptation policies greatly depends on the careful choice of the institutions and individuals who will conduct the planning process, including from a gender perspective. Therefore, stakeholder analysis and capacity assessment have to identify institutions that have the resources, necessary expertise, interests and legitimacy to provide an input on gender.

A brief presentation on the country is given in most NAPs including information on the geographical context, historical background, legal framework, population, socio-economic and cultural aspects, etc.

Gender-based inequalities relevant to adaptation policies should be included, such as economic participation, access to material and non-material resources, educational attainment, health status, as well as political empowerment and representation in decision-making structures. The inclusion of such information highlights the gender dimension of the socio-economic context.

CHECK LIST

13. Country Presentation: Basic Data about the Population Disaggregated by Sex

- Does the country presentation include information about the population disaggregated by sex (on issues such as economic participation, political participation, education, etc.)?

14. National and International Legal Instruments

Are the following instruments included?

- National constitution;
- “Equal treatment/Non-discrimination Acts”;
- Convention on the Elimination of All Forms of Discrimination against Women;
- Beijing Declaration and Platform for Action;
- Millennium Declaration

15. Other relevant national policies to gender and climate change

Are the following policies included?

- Policy on gender equality;
- Policy on poverty;
- Policy on population issues;
- Policy on development cooperation;
- Policy on access to information and participation.

At this point it is highly recommended to make reference to the national constitution if gender equality is included, to national “Equal treatment/Non-discrimination Acts”, and the national policy on gender equality, including past and on-going actions.

It is also important to mention international commitments taken by the country under e.g., CEDAW, the Beijing Declaration and Platform for Action, the Millennium Declaration. Other policies relevant to conservation should also be mentioned, such as national policies on poverty, population, or development cooperation. It is an issue of coherence, complementarity and coordination between the various national and international instruments and policies.

IV. Implementation Phase

A plan by itself is of little use unless it is put into action. In order to make it reality it needs to be fleshed out with concrete measures.

Based on a gender-responsive plan, it is essential, at this point, to identify those activities that are able to meet the objectives of the national adaptation plan and promote gender equality by empowering women. In the process of analyzing the different activity options, the promotion of gender equality should be a prerequisite.

Identifying the Set of Activities

The phase of identifying activities must be directly linked to the objectives of the national adaptation plan; including the goal of promoting gender equality. The conceptualization and formulation of activities have to be based on data disaggregated by sex and include the clear objective of promoting gender equality. In the conceptualization phase, activities should be developed that empower women and are most accessible to them. The promotion of gender equality has to be one of the main requisites for approving activities.

CHECK LIST

16. Identifying the set of activities

- Is all the background information used disaggregated by sex (age, ethnic origin, etc.)?
- Is the gender dimension considered?
- Is the necessary gender expertise ensured?
- Is the promotion of gender equality one of the requisites for approving an activity?

Priority setting

Priority setting of the activities is recommended in the guidance provided by CoP. However, the priorities of women and men often differ. It is therefore necessary to base the priority assignment of each activity on the sex-disaggregated data gathered during the phase of stocktaking about women’s needs, interests and visions in order to avoid the prioritization of exclusively male agendas. At this point the qualitative data gathered during the stocktaking phase has particular importance.

CHECK LIST

17. Priority setting

- Is the priority setting based on qualitative and quantitative data that genuinely reflect women’s needs and interests?

Were organizations representing women briefed during priority setting: (1) Ministry of Women’s Affairs or equivalent; (2) NGOs dealing with gender equality?

Plan of implementation

It is important to give some guidance for the implementation of the action plan in order to ensure that gender mainstreaming will also be carried out at project and programme levels. This part of the implementation plan is the necessary bridge in terms of gender between the action plan and the actual implementation at programme/project level.

The NAP should make a requisite of the inclusion of a gender perspective in any programme/project related to the strategy. Moreover, the establishment of a gender expert list could greatly contribute to the success of gender mainstreaming at programme/project level as it provides the implementers with a ready answer to where to start their work related to gender.

CHECK LIST

18. Plan of Implementation – List of Requirements to be Included

- Objectives: promotion of gender equality is a prerequisite of all programmes/projects;
- Stakeholder participation: (1) ensuring that stakeholders dealing with gender equality are involved; (2) ensuring that all other implementing partners are committed to gender equality;
- Project staff: gender balance in programme/project staff is ensured;
- Financing: as regards funding from government resources, gender should be a prerequisite for approval;
- Role and list of experts: list of gender experts that can be used later at programme and project level.

Gender mainstreaming into the text of action plans-identifying entry points

After taking into account all the gender-related considerations of the action plan, such considerations have to be visible in the action plan. Each activity description in the action plan should include the following elements: title of the activity, objective of the activity, context, description, implementing institutions, length of activity and budget.

V. Monitoring and Evaluation Phase

As to monitoring and evaluation, national adaptation plans have to include the development of participatory approaches which are able to assess both quantitative and qualitative developments and track the successful implementation thereof and ensure that all gender issues are covered adequately.

CHECK LIST

19. Monitoring and Evaluation

- Are gender-specific indicators developed in collaboration with women groups and applied effectively?
- Has the specifically required gender expertise been ensured to monitor and track progress on the NAP?

Further Information:

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