LDC PAPER SERIES

NAPAs and NAPs in Least Developed Countries

Gabrielle Kissinger and Thinley Namgyel

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KEY POINTS

- Discussions on the formulation and implementation of National Adaptation Plans (NAPs) have begun, but **more clarity is needed on how finance for NAPs at the international level can support adaptation planning and implementation**. This should be a priority for the 2014 climate conference in Peru, and for the Global Environment Facility, the Green Climate Fund (GCF), and other financial contributors.
- LDCs can **explore low-cost and 'no regret' adaptation strategies** to provide robust policy responses in the face of information uncertainty, and **refine assessments of economic impacts of climate risks**, in order to target adaptation investments better.
- A critical objective of NAPs is to facilitate the **integration of climate change adaptation into development policies and activities**. Solid examples exist of LDCs **mainstreaming climate plans into national development and sector plans, which can provide models for NAP processes and interventions**.
- **Adequate levels of finance for both NAPAs and NAPs and 'enhanced direct access' as an access modality within the GCF** are critical for LDCs to address urgent and immediate as well as medium- to long-term adaptation needs.
- Clear guidance from the UNFCCC is needed in order to support 'country-driven' approaches and **define measurement, reporting and verification systems for climate finance** in order to help differentiate adaptation support from official development assistance.

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Introduction

In 2010, the 16th Conference of Parties (COP 16) to the United Nations Framework Convention on Climate Change (UNFCCC) established a process to enable Least Developed Countries (LDCs) to "formulate and implement national adaptation plans," as a way to plan and implement medium- and long-term adaptation needs.[1] This process for national adaptation plans (NAPs) builds on the experience of the LDCs in addressing short-term "urgent and immediate adaptation needs" through the National Adaptation Programmes of Action (NAPAs). While the NAPAs had been prepared and implemented only by the LDCs, other developing country Parties were invited to use the modalities for formulating their NAPs.[2]

The following year, COP 17 in Durban defined the objectives of the NAP process, to:

(a) "reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience," and
(b) " facilitate integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate". [3]

COP 17 also recognises that adaptation planning will be "continuous, progressive and iterative". This framing of adaptation in the broader development context is in recognition of the magnified development challenges posed by climate change for LDCs due to their development status, and the opportunity for NAPs to enable all developing countries to assess their vulnerabilities, mainstream climate change risks, and address adaptation.[4]

The LDC Expert Group (LEG) prepared Technical Guidelines for the NAP process in 2012, based on the COP's initial guidelines. The review of the guidelines planned for November 2013 at COP 19[5] has now been postponed to COP 20 in Peru, in 2014, given that the LDCs have not had enough time to try out the existing guidelines. To inform this review, Parties are invited to submit comments to the Subsidiary Body for Implementation by 26 March 2014, on their experience with the application of the initial NAP guidelines, including information on the formulation and implementation of NAPs. At COP 18, the Global Environment Facility (GEF) was requested to enable support for LDCs to start the NAP process. GEF has indicated that LDCs can start to access the LDCF for preparatory activities for the NAPs process. Progress on these matters are also to be reviewed at COP 20.

In order to support discussion of the NAP process within the UNFCCC and at the national level in LDCs, this brief explores current trends, commonalities and barriers

that LDCs face in the process of formulation and implementation of NAPs in late 2012,[6] **as requested by the COP.** This brief first focuses on the distinction between NAPAs and NAPs, including goals, rationale and processes, and examines the following four priority areas related to the preparation of the NAPs:

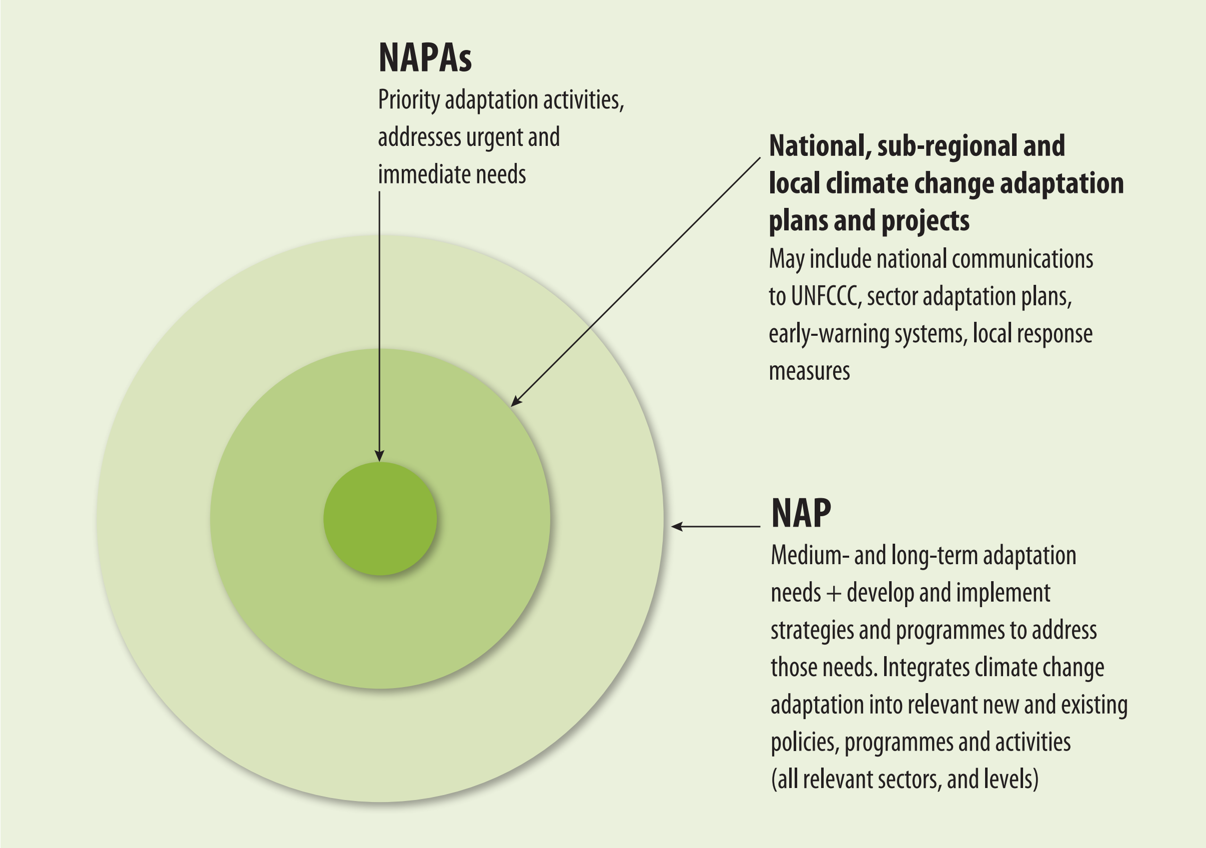
1. Research, systematic observation and **information systems to support vulnerability and risk assessment**; synthesising the best available climate science and other knowledge and translating it into support for decision-making; and decision-making in the face of uncertainty.
2. **Integration of NAPs into national development plans and priorities**, including facilitating recognition of climate risks and the need for adaptation within relevant policies; integrating climate change vulnerability and risks in the formulation of policies; and prioritising resource allocation to the areas, sectors or populations most at risk.
3. **Financial and technical support for the NAP process**, including how LDCs are funding adaptation; the distinction between NAP planning and NAP implementation; considerations for what is necessary to support adaptation measures; and innovative financing options to support NAP planning and response measures.
4. **Monitoring and evaluating NAP processes**, though clear guidance does not yet exist from the UNFCCC.

This brief draws upon UNFCCC materials, LDC national communications to the UNFCCC, national sectoral and development plans, and third-party assessments to provide insights on the above issues, and explore how different countries can approach "preparation" and "implementation" of NAPs, based on their unique national circumstances. Recommendations are offered in each section, and the brief concludes with consideration of emergent issues relevant to the UNFCCC negotiations.

NAPAs and NAPs

Before proceeding further, it is useful to recognise the use of the terms "NAP" and "NAP process" in the UNFCCC decisions and guidelines and the subtle but important differences between the two. The NAP process is seen as a larger process for enabling the planning and implementation of adaptation at the country level. It will produce many outputs ranging from actions to assess and fill capacity gaps and needs for building climate resilience and mainstreaming adaptation, to outputs such as NAPs or a series of plans that contain adaptation priorities and strategies for implementation. The outputs of the NAP process may, depending on a country's priorities, include more urgent and short-term NAPAs or NAPA-like activities, longer-term national, sub-regional and local climate adaptation plans and activities, and other relevant plans and/or processes, such as sector-based and development plans, as depicted in Figure 1 below.

Figure 1: The NAP process and NAPAs



The NAP process builds on the processes for NAPAs in several ways:

a) It maintains a country-driven, participatory and multidisciplinary and gender sensitive approach, for adaptation planning and prioritisation. However, additional issues such as vulnerable groups, communities and ecosystems have been identified and the use of the best available science, and where appropriate local and traditional knowledge, is also specified.
b) It builds on the lessons from the short-term project-oriented focus of NAPAs and experience of temporary NAPA teams in LDCs. The medium- and long-term perspective of the NAPs process means that countries would require more sustainable and permanent institutional arrangements for continuous and iterative adaptation planning, to be integrated into national development planning processes. Gaps and needs for technical capacity, data and information required at various levels of adaptation planning would also need to be addressed.

Therefore the COP's initial guidelines as well as the Technical Guidelines for the NAP process place emphasis on building on work already undertaken and strengthening the enabling environment for a sustainable process for adaptation planning and mainstreaming at the country level. Table 1 on the next page summarises the relationship between NAPAs and NAPs. LDCs and other developing countries will start their NAP processes at various stages, given the varying national circumstances, capacity and adaptation action already underway.

Many countries use probability or likelihood assessments to guide adaptation planning, categorise how likely modeled changes and impacts are, and assess the level of confidence in climate change estimations. However, the quantity and quality of data in LDCs (and many developing countries) is often limited. Although this will improve as opportunities, resources and capacity become available, LDCs are already faced with the challenge of developing adaptation measures. In order to provide robust policy responses in the face of this uncertainty, LDCs can explore low-cost and "no regret" adaptation strategies as they seek to improve upon their medium- to long-term adaptation risk assessments.[14] A few pertinent LDC examples are below:

- **Bangladesh:** Previous investments in "climate proofing" have resulted in major impacts on economic growth and poverty reduction. Over the last 10-15 years, the number of fatalities from natural disasters has declined, as the country's ability to manage risks, especially floods and cyclones, has improved and community-based systems have been put in place.[15]
- **Nepal:** Nepal specifically assessed all regions to identify the most vulnerable populations, to provide targeted support for the most urgent and immediate responses needed, building on Nepal's 2004 Initial National Communication to the UNFCCC and the National Capacity Self-Assessment (2008). The country is supporting local level adaptation programmes in the most climate vulnerable districts of the mid- and far-western regions of Nepal.
- **Rwanda:** Rwanda's 2011 National Strategy on Climate Change and Low Carbon Development (NSCCLCD) prioritised risks and potential interventions to derive "big wins"– large-scale economy-wide programmes. Adaptation measures include (among others): a) irrigation infrastructure as part of Integrated Water Resource Management, to address the highest vulnerability of rural livelihoods and tea and coffee export revenue due to dependence on rain-fed agriculture, and b) agroforestry, to address critical fuel wood needs and social protection while avoiding deforestation. The strategy also focuses on what it terms "quick wins", addressing key enabling pillars, such as institutional frameworks, finance, capacity building and knowledge management.

Table 1: Relationship between NAPAs and NAPs[7]

	NAPA	NAP
Objective	• Simplified and direct channels of communication for information relating to the *urgent* and *immediate* adaptation needs of the LDCs.[8]	• Meant to build upon NAPAs, as a means of identifying *medium*- and *long-term* adaptation needs and developing and implementing strategies and programmes to address those needs.[9] • Reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience. A continuous, progressive and iterative process.[10] • Facilitate the integration of climate change adaptation into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.[11]
Rationale	• High vulnerability and low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change. Activities proposed through NAPAs would be those whose further delay could increase vulnerability, or lead to increased costs at a later stage.[12]	• Provides a means for LDC and developing countries to enhance action on adaptation under the Cancún Adaptation Framework (See: FCCC/CP/2010/7/Add.1).
Process	• NAPA team to identify urgent and prioritised adaptation actions. Potential activities, which may include capacity building and policy reform, may be integrated into sectoral and other policies. • Country-driven, participatory and multidisciplinary approach for adaptation planning and prioritisation while considering sustainable development, gender equality, environmental management, and cost effectiveness. • NAPA document containing priority adaptation actions for implementation submitted to the UNFCCC. • Implementation phase of prioritised adaptation actions in NAPA recognised and supported through the LDC Fund. • The NAPA document can be revised or updated based on new climate risks or other circumstances.	• Integrating adaptation into development planning processes and sectors is now an objective, rather than a recommendation (see above).[13] • While country-driven, also includes: gender sensitivity, vulnerable groups, communities and ecosystems have been identified and the use of the best available science, and where appropriate local and traditional knowledge. • Current guidelines and support for NAP process aims to enhance the enabling environment for mainstreaming adaptation and in assessing vulnerability and adaptation. Outputs will also include NAPs and implementation strategies for addressing climate vulnerabilities but implementation of such plans and strategies is not yet addressed. • No single document for communicating priority adaptation actions to the UNFCCC. Progress on "NAP process" can be communicated in National Communications or through "other channels". • NAP process is continuous, progressive and iterative.

“No regret options” in LDC adaptation planning

Many countries use probability or likelihood assessments to guide adaptation planning, categorise how likely modeled changes and impacts are, and assess the level of confidence in climate change estimations. However, the quantity and quality of data in LDCs (and many developing countries) is often limited. Although this will improve as opportunities, resources and capacity become available, LDCs are already faced with the challenge of developing adaptation measures. In order to provide robust policy responses in the face of this uncertainty, LDCs can explore low-cost and “no regret” adaptation strategies as they seek to improve upon their medium- to long-term adaptation risk assessments.[14] A few pertinent LDC examples are below:

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- **Solomon Islands:** The National Climate Change Policy (2012-2017) of the Solomon Islands prioritises enabling conditions and institutional environment to respond to climate vulnerability and risks. The first proposed policy intervention is to draft and enact national climate change legislation, to provide a clear legal mandate to the Ministry of Environment, Climate Change, Disaster Management and Meteorology and

include provisions for mandatory assessments and reporting for purposes of planning, implementing and evaluating climate change adaptation and mitigation actions.

- **Malawi:** Malawi has developed a road map on how it would want to approach the NAP process. The Ministry of Environment and Climate Change Management, in collaboration with other stakeholders, is developing a National Climate Change Investment Plan which will be used as a resource mobilisation tool for implementing climate change activities. Specifically, the Investment Plan is aimed at increasing investment options in climate change management in the country, stimulating strategic response measures and outlining a national vision and framework for action by all stakeholders, thereby increasing public-private-civil society partnerships in climate change management.

Support for NAP processes can encourage countries to prioritise and pursue "no-regret" options. The Solomon Islands and Rwanda prioritise "no-regret" response measures that support enabling conditions and institutional environments, thus solidifying a base to support both climate adaptation and economic development. Bangladesh and Nepal prioritise response measures based on the most vulnerable regions or populations. Similarly, Haiti has prioritised two geographic regions that experience different levels of climate risks, while also forecasting the consequences and impacts of climate change on key sectors of the national economy, and seeking to strengthen the resilience of both rural and urban communities.[16] These examples highlight response measures that can have multiple benefits, while decreasing risks.

Countries are encouraged to review critical current and future climate risks, and ensure proposed measures and interventions are designed and prioritised to address these, as part of NAP processes. For instance, Senegal's rainfall deficits are considered the largest constraint on agricultural sector growth (96% of planted area is rainfed, while only 4% is irrigated). Agricultural production declines over the last 20 years are attributed to decreases in rainfall, decreased soil fertility from poor agricultural practices, as well as saltwater intrusion into rice growing areas. However, the priorities identified in the country's Second National Communication (based on a vulnerability assessment) did not include targeted measures to decrease risks to agriculture and food security.

LDCs can consider how NAP planning and processes can refine assessments of economic impacts of climate risks, in order to target adaptation investments better (*see Box below: Economic impact assessment in Ethiopia*) or to evaluate better the trade-offs between inter-related sectors. For instance, although Bhutan notes the importance of cross-linkages between key sectors and recognises the co-benefits of adaptation measures (such as forest conservation as ecosystem based adaptation, with co-benefits for biodiversity, water, hydropower and carbon sinks), the country lacks economic assessments of these co-benefits and impacts. Therefore, the NAP process could help refine assessments of cost-benefits, particularly for activities that may involve trade-offs, such as the growing interest in hydropower production in Bhutan.

Box: Economic impact assessment in Ethiopia

The World Bank produced seven country case studies as part of the Economics of Adaptation to Climate Change (EACC) global study on adaptation costs. The case studies were based on national data, disaggregated to more local and sector levels, and compare a no-climate change baseline that reflects existing development plans with climate change scenarios. The results of the Ethiopia case study are briefly discussed below.

Economy-wide impacts of climate change: Assessed using a computable general equilibrium (CGE) model. The results of the modeling suggest that the GDP losses are significant but diverse across scenarios, highlighting the high degree of vulnerability of Ethiopian agriculture and infrastructure to future climate shocks.

Inter-sectoral analysis and potential interactions and conflicts between agriculture, roads and hydropower, under climate change scenarios: The modeling of inter-sectoral effects between 2001 and 2050 identifies agriculture at greater risk than hydropower. If priority is given to hydropower, up to a billion cubic meters of water might be taken away from irrigated agriculture, causing a 30–40% yield drop across 250,000 hectares that would be forced to revert to rainfed conditions.

Relevant findings:

- In evaluating overall economic well-being, findings show that adaptation investments reduce, but do not completely eliminate, economic losses under adaptation scenarios; that gains in economic well-being can be achieved at relatively low cost; and that adaptation lowers income variability.
- The economic benefits of the adaptation strategy are significantly larger than the project-level costs of implementing it, resulting in benefit/cost ratios ranging from 5 to over 13.
- Importantly, adaptation restores the variability of agriculture GDP growth close to the baseline scenario.
- Due to the uncertainty of the future climate, a risk-based investment planning approach is recommended and robust decision-making principles are needed to minimise the "regrets" of climate-sensitive decisions (for instance, building costly dams may not be necessary under 'wet' climate change scenarios, but improved transport infrastructure is a sound investment under all scenarios).

Source: World Bank (2010). *Ethiopia - Economics of adaptation to climate change*. Vol. 1. World Bank, Washington D.C. http://documents.worldbank.org/curated/en/2010/01/16279299/economics-adaptation-climate-change-ethiopia

Integrating NAPs into national development plans and priorities

The UNFCCC process acknowledges that climate change risks magnify development challenges for LDCs, and that planning for adaptation at the national level should be coordinated with national sustainable development objectives, plans, policies and programmes.[17] Linking adaptation strategies to planned development projects or other non-adaptation efforts can safeguard those development investments from climate change impacts, and also result in significant cost savings.

For many LDCs, potential economic impacts of climate change on key sectors dictate that increased attention be paid to addressing these issues directly within the sector and national development plans. However, countries are at different stages of planning and integrating climate adaptation measures, depending on their unique national circumstances. Many countries have prepared initial vulnerability and risk assessments and proposed initial adaptation measures as part of national communications to the UNFCCC or national planning processes, but need to iteratively refine these plans and define pathways for integration with sector and development plans. Lessons from twenty years of multilateral environmental agreements (MEAs) under the Rio Conventions offer important insights on key enabling elements and success factors for integrating the NAP processes (*see Box on next page: Lessons in integration for NAPs, from the Rio Conventions*).

Some countries have framed climate adaptation goals in national development plans, with subsequent sectoral and climate-change plans as a means to refine planning, appropriate response measures and implementation. This means that rather than climate adaptation goals needing to be retrofitted and mainstreamed into development plans, the development plans drive the need at the outset for adaptation planning and response. Relevant examples include:

- **Solomon Islands:** One of the eight objectives of the National Development Strategy (NDS) (2011–2021) is to respond to climate change and manage the environment, seeking to mainstream climate change into national development planning. The National Climate Change Policy (2012–2017) should help enable this, but will need to reach beyond the Ministry of Environment for success in implementation, which may be possible if enabling legislation is passed and the Climate Change Council is put in place.
    - The NDS promotes a holistic and sustainable approach to natural resources management and develops measures to manage and reduce natural disaster risks, which are of primary concern.
    - Plan authorities stressed that one impediment to private sector growth is the country's vulnerability to climate change, in particular the absence of climate change-proof infrastructure, and the impacts on income in rural areas.
    - The authorities are planning on developing an adaptation and migration strategy with the help of development partners to mitigate adverse impacts on the most vulnerable.

Box: Lessons in integration for NAPs, from the Rio Conventions

Leadership: High-level political leadership and involvement is essential to signal any significant changes from business as usual, and rope in other related sectors.

Focus on establishing a process, not producing a document: Establish an effective and durable participatory process for integrated planning, implementation and monitoring, rather than on a one-off national consultation process resulting in a national plan document.

Realistic planning needs clarity of funding: National planning exercises are likely to be more realistic from the start if there is an idea of the funding available for implementation. Otherwise, they could end up as overly ambitious wish-lists.

Use existing structures and processes: The use of existing national processes (such as existing mechanisms for devolved governance) can ensure better mainstreaming, longer-term sustainability, allow for iterative planning, and ensure better capacity-retention and cost-effectiveness.

Subsidiarity and sub-national strategies: Define pathways for national plans to include and address sub-national, local, community and stakeholder concerns and priorities, particularly given the importance of adaptation planning and response measures at local levels.

Umbrella framework to lay the groundwork: An umbrella framework for national planning, implementation and monitoring related sustainable development efforts, based on national structures and mechanisms for decentralised planning, including meaningful participation and encompassing key environment and development processes, could help to bring down the cost and increase effectiveness of such national planning exercises.

Meaningfully broaden the process beyond the environment department: Climate change holds great potential to undo or put at risk economic and development gains, therefore adaptation planning and implementation must include the development sector, for effective cross-sectoral mainstreaming.

Participation: The range and depth of participation is critical. Mechanisms are needed to ensure the involvement of stakeholders in every step, from planning to implementation and monitoring. Efforts should be made to include the voices of traditionally marginalised groups by overcoming social and cultural barriers, and well as the private sector and the scientific community.

Emphasis on results instead of perfect project documents: Combine a light touch process to access predictable funds and allow longer- and medium- term planning, with a much greater focus on accountability through monitoring of implementation and evaluation of results. This will require investments in strengthening the capacity of countries and communities to monitor and report results.

Adapted from: Sharma, A. (2009). *Planning to Deliver: Making the Rio Conventions more Effective on the Ground*. Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ). Eschborn, Germany.

- **Rwanda:** Rwanda's NSCCLCD seeks to mainstream climate change into Vision 2020, Economic Development and Poverty Reduction Strategy 2013-2017 (EDPRS) and sector strategies. The NSCCLCD aims to guide the process of mainstreaming climate resilience and low carbon development into key sectors of the economy, as depicted in the strategic framework in Figure 2 on the next page.
    - Identifies all sectors involved in each 'programme of action,' stresses cross-sectoral linkages by identifying responsible institutions, and give estimates of time, cost, impact on emissions reduction and climate resilience and the multiple sources of

climate finance that could fund implementation.

- The first two enabling pillars call for mainstreaming into sectoral and development plans, and the next two pillars call for integration into multiple levels of government, including sub-national institutional arrangements and for Local Adaptation Plans of Action and Locally Appropriate Mitigation, and District Development Plans. Multiple stakeholders are involved, including the private sector and civil society.

- **Uganda:** The National Development Plan (2010/11–2014/15) identifies climate change as an 'enabling sector,' along with defence and security, justice, law and order, and others, that provide a conducive environment and framework for efficient performance of all sectors of the economy. The Plan identifies the objective of developing national capacity for coordination and implementation of climate change adaptation and mitigation activities in the country in support of social welfare and national development, and calls for a national climate change policy as a strategy to achieve this.

Opportunities exist for NAP processes to mainstream climate plans into national development and sector plans. LDC examples explored below provide examples of how NAPs can assist integration. These can range from targeted interventions to create linkages, particularly as development and sector plan revisions occur, to more comprehensive integrated planning and ensuring harmonisation between levels (local, sub-regional and national).

Figure 2: Strategic Framework for Rwanda's National Strategy on Climate Change and Low-Carbon Development

Vision 2050: For Rwanda to be a developed climate-resilient, low-carbon economy by 2050.

Guiding Principles

- Economic Growth and Poverty Reduction
- Sustainability of the Environment and Natural resources
- Welfare and Wellness of all citizens in a growing population
- Good Regional and Global Citizenship
- Gender Equality and Equity

Strategic Objectives

- To achieve Energy Security and a Low Carbon Energy Supply that supports the development of Green Industry and Services
- To achieve Sustainable Land Use and Water Resource Management that results in Food Security, appropriate Urban
- Development and preservation of Biodiversity and Ecosystem Services
- To achieve Social Protection, Improved Health and Disaster Risk Reduction that reduces vulnerability to climate change

Programmes of Action

Sustainable intensification of small-scale farming	Agricultural diversity of markets	Sustainable land use management	Integrated Water Resource Management	Low carbon energy grid
Small-scale energy access in rural areas	Disaster management and Disease prevention	Green industry and private sector development	Climate compatible mining	Resilient transport systems
Low carbon urban systems	Ecotourism, conservation and PES	Sustainable forestry, agroforestry and biomass	Climate data and projections	

Enabling Pillars

Institutional Arrangements	Finance	Capacity Building and Knowledge Management	Technology, Innovation and Infrastructure	Integrated Planning and Data Management

Roadmap for Implementation

- Big Wins, Quick Wins and Further Work
- Integrating the Strategy into Vision 2020, EDPRS 2013-2017, sector strategies

- **Bangladesh:** The Climate Change Strategy and Action Plan (BCCSAP) (2009), which includes six major themes and 44 programmes, offers a blueprint for mainstreaming climate change issues into planning processes.[18] The Sixth Five Year Plan (2011)[19] includes a core objective to encourage research on adaptation to climate change. Though the need for mainstreaming is mentioned in Chapter 10 on Environment, Climate Change and Disaster Risk Management, it is not central in the other sectoral plans, and no mention of the BCCSAP is made, except in Chapter 10.
    - Bangladesh's Second National Communication to the UNFCCC (2012) notes there is still no firm implementation framework for the BCCSAP yet, and this needs to be set up. In the meantime, the government has established a Climate Change unit in the Ministry of Environment and Forests and a Department of Climate Change has been approved to be established as an operating arm of the ministry.
    - An expert committee has recommended that for smooth integration of adaptation in sectoral development activities, a four-tier monitoring mechanism should be put in place, involving the line agency, an inter-ministerial Coordination Committee with representation from a proposed high-powered Steering Committee on Climate Change, and the Accountant General.
    - NAP support could assist Bangladesh in these integration steps.

- **Bhutan:** The 11th Five Year Development Plan (2013-2018) has climate resilience and a carbon neutral goal as key result areas at the national and sectoral levels.[20] Mainstreaming of environment, climate change and poverty alleviation into development planning down to the local government level has also been initiated. While the NAPA and national communications process identified vulnerabilities and adaptation needs, poor or scant data and low technical capacity has hampered successful integration of climate change adaptation into national, sectoral and local development plans.
    - The NAP process is expected to fill such gaps and provide more robust adaptation plans and actions for integration and implementation at the various levels for climate resilient development.

- **Cambodia:** Aims to mainstream climate change into the National Strategic Development Plan (NSDP) for 2014–2018.[21] Further, the NAP process will help address gaps in existing work, including the Cambodia Climate Change Strategic Plan (CCCSP) that only serves as strategic objectives. Multiple sectors have now developed climate adaptation plans, as sectoral agency input to the CCCSP. The degree to which these are mainstreamed in sectoral plans is unclear, and the National Strategic Development Plan Update (2009–2013) does not account for climate change, except in the natural resource and water sector chapters.[22]

- An opportunity exists to include this in sectoral and development strategies that are presumably being drafted in 2013 for the next four-year plan.

- **Nepal:** The Climate Investment Funds' Pilot Programme on Climate Resilience (PPCR) is anticipated to significantly contribute towards building national capacity and institutions, and help develop and implement a Strategic Programme for Climate Resilience (SPCR) for Nepal. Nepal's current five-year plan and the Medium-Term Expenditure Framework focus on poverty reduction but lack explicit consideration of climate change risks and suggestions for possible responses.[23]
    - Nepal could identify NAP pathways to integrate climate adaptation into the next (or revisions to the current) five-year plan, and to harmonise the SPCR with NAP.

- **Tanzania:** The country's NAP process will include review of existing institutional arrangements, ranging between national, local and/or sectoral policies, plans, strategies and programmes. Tanzania has already prepared guidelines for doing so.[24] Tanzania plans to integrate NAP priorities into their Five Year Plan.[25]

- **Tuvalu:** The National Strategic Action Plan for Climate Change and Disaster Risk Management (NSAP), approved by Cabinet and Parliament in 2011, operationalises Strategic Priority 7 on Environment (Climate Change and Disaster Risk Management) of the Te Kakeega II (2005–2015) – National Strategy for Sustainable Development, and the Te Kaniva (2012-2012) - National Climate Change Policy (designed to be cross-cutting).
    - The NSAP covers strategies and actions, responsible agencies, implementation arrangements, estimates of implementation costs, and monitoring and evaluation.
    - The need for the NSAP was identified in Tuvalu's NAPA. The NSAP will mainstream climate change and disaster risk reduction into sector plans.

In some cases, national development plans indicate future efforts to plan for adaptation and bring that into development planning, signaling the need for development or refinement of national adaptation plans and proposed interventions. Burundi's Vision 2025 notes the importance of addressing climate change impacts on important export crops such as coffee and tea. Lesotho's NSDP identifies the importance of reducing vulnerability to climate change impacts on poverty, agriculture and infrastructure.

For some LDCs, NAP processes can provide an important platform to create necessary linkages between existing policies, or to support new ones. Mali's newly created (2010) Environment and Sustainable Development Agency seeks to promote sustainable development by mainstreaming environment components into policies, development projects and programmes. A national policy on climate change is under development. Niger's Poverty Reduction Strategy (PDES) (2012-2015 version) does not link to the NAPA or Second National Communication, so while there is mention of the need for coordination of sectoral policies, current policies do not enable or promote linkage. Similarly, Senegal's Second National Communication (2010) seeks to provide a road map to enhance strategic decisions for better climate change adaptation, and notes the need for this strategy to be later integrated to the national development strategy. However, the revised National Strategy for Economic and Social Development (2013-2017) (DPES) does not reference or build on this identified need. Though the DPES mentions at the outset that adaptation to climate change is a major new challenge, particularly phenomena such as flooding, coastal erosion and salinisation, the sector sections of the strategy largely omit reference to climate adaptation, particularly the agriculture and water sections, with the exception of the section on the environment and sustainability. This points to the opportunity for NAP processes to focus on tangible policy and programmatic linkages.

Finance

The review of financial support through the LDC Fund (LDCF) for LDCs to formulate NAPs is on the agenda for COP 20. Parties will have the opportunity to consider future long term finance needs and availability of resources for NAP preparation. The COP 19 decision welcomed the recent creation of the national adaptation plan global support programme for LDC's for facilitating technical support,[26] which can help leverage finance, capacity and partnerships for LDCs. The GEF provided an update report at COP 19 on how support for the NAP process has been enabled from the LDCF. Parties are also closely watching the development of the business model of the Green Climate Fund (GCF), which will also report progress to COP 20.

Estimates of LDC funding needs in order to implement their NAPAs stands at roughly US$ 5 billion. Additional contributions estimated at US$ 3 billion to the LDCF would be necessary to meet that need, excluding co-financing.[27] Cumulative donor pledges to the LDCF have amounted to US$ 605.3 million. Of the 47 countries that have completed their NAPAs, 46 have accessed US$ 537.90 million for 109 projects to address their urgent and immediate adaptation needs.[28] The 2013 progress report on the LDCF notes,

> "There are persistent barriers to further scaling up and mainstreaming adaptation. The current supply of resources for adaptation continues to fall far short of current and projected demand. …In addition, adaptation finance remains highly unpredictable, providing vulnerable countries with

> few opportunities and incentives to invest in longer-term capacity building, institutional frameworks, planning and investments. As a result, adaptation remains inadequately coordinated and monitored in many countries."[29]

There are other funds that could support LDC adaptation planning and implementation (*see Table 2 on page 18*), though the LDCF is the primary source LDCs can tap into for NAPAs and NAPs.

The decision to provide financial resources to enable LDCs to start the NAPs process was taken at COP 18 in Doha, Qatar. The GEF was requested "to provide funding from the Least Developed Countries Fund to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan process".[30] The progress made in response to this decision will be assessed in 2014 at COP 20. In June 2013, the GEF Council defined the GEF's approach to operationalising support towards the preparation of the NAP process.[31] The key elements of this approach are as follows:

- Support will be contingent on the availability of resources through contributions to the funds.
- A flexible approach, tailored to country-specific needs, circumstances and capabilities, with GEF support being determined on a case-by-case basis, with specific, measurable and time-bound results, is proposed. Further, "…while the NAP process may entail the development of a plan or plans, any support provided by the GEF, through the LDCF and the SCCF [Special Climate Change Fund], for the NAP process would differ from past LDCF financing towards the preparation of NAPAs both in its objectives and its scope".
- NAPA completion is not a precondition for accessing LDCF financing towards the NAP process.
- Unlike the support for preparation of NAPAs, which was under the "enabling activity" modality, support for the NAPs process will be provided through medium- or full-sized projects (MSPs and FSPs). NAPA implementation projects are already supported as MSPs or FSPs.
- In balancing support for NAPAs and NAPs, the GEF has taken the principle of equitable access to the LDCF into account. Recipient countries will have to determine how they wish to pursue support for NAPA implementation vis-à-vis the NAP process within the resources available equally to each LDC.
- The objectives, principles, scope and modalities for GEF support, through the LDCF and the SCCF, for the preparation of the NAP process is based on the initial COP guidelines for formulation of NAPs, including: laying the groundwork and addressing

gaps; preparatory elements; implementation strategies; and monitoring, reporting and review.

- GEF experience suggests that, on the one hand, the implementation of tangible adaptation measures in response to urgent needs (NAPAs), and on the other hand, efforts to integrate adaptation into relevant new and existing policies, programmes and activities, are often mutually supportive.
- Given that the NAP process seeks to integrate adaptation into development policy and planning, any request for funding in support of such a process should follow the principle of *additional cost* (adaptation costs are added to costs of business-as-usual or baseline development).

Thus, the Council is affirming support for both planning and preparatory activities, such as strengthening enabling environments, based on diverse country needs and circumstances. This is important, in order to serve the needs of LDCs, ranging from refining vulnerability and risk assessments, developing climate adaptation plans, to mainstreaming adaptation and implementing response measures to address medium- to long-term risks. What is less clear is the degree to which support for implementation of adaptation measures will be pursued in this stage of financing NAP processes.

While the GEF Council intentions affirm the needs of LDCs, adaptation funding levels will need to be commensurate with the task at hand. As the LDCF aptly observed, the current supply of resources for adaptation continues to fall far short of current and projected demand. LDCs have experienced difficulties related to the timing and quantity of finance accessed to support NAPAs. Though developed country pledges of climate finance are an important measure of commitment to addressing climate change, roughly 50% of the amount of fast-start finance pledged is approved for delivery, and less than 7% is disbursed.[32] Adaptation finance is about 12% of donor contributions to fast-start finance, despite the Cancún Adaptation Framework affirming that adaptation must be addressed with the same level of priority as mitigation. Contributing countries favour mitigation, in part due to the ability to attract greater private sector co-finance in mitigation investments.[33]

Table 2: Current and future sources of funding for LDC adaptation

The Green Climate Fund	Though modalities are still to be determined, the UNFCCC agreed, in the Cancún decision (FCCC/CP/2010/7/Add.1) that "a significant share of new multilateral funding for adaptation should flow through the Green Climate Fund" and "..[t]he Green Climate Fund will support developing countries in pursuing project-based and programmatic approaches in accordance with climate change strategies and plans, such as national adaptation programmes of action, national adaptation plans and other related activities" (Decision 3/CP.17, annex, paragraph 36).
Least Developed Countries Fund	The LDCF, with the GEF as its secretariat, was established to address the special needs of LDCs, with adaptation as the top priority, and a mandate to fund NAPAs. Seeks to reduce vulnerability in sectors that are central to development and livelihoods, such as water, agriculture and food security, health, disaster risk management and prevention, infrastructure and fragile ecosystems. In response to the request from COP 18, the LDCF will also support the activities to enable the preparation of the national adaptation plan process in LDCs.
Special Climate Change Fund	Also housed within the GEF, the SCCF was established in 2001 to support adaptation and technology transfer in all developing country Parties to the UNFCCC. The COP has urged developed countries to mobilise financial support for the NAP process for non-LDC developing country Parties through bilateral and multilateral channels, including through the SCCF (FCCC/CP/2012/L.2). The SCCF supports both long-term and short-term adaptation activities in water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management.
Adaptation Fund	Financed through a 2% share of the proceeds from Certified Emission Reductions issued for projects under the Kyoto Protocol's Clean Development Mechanism; its mandate is to fund concrete adaptation projects and programmes in developing countries.
Pilot Programme for Climate Resilience	A targeted programme of the Strategic Climate Fund under the Climate Investment Funds framework, a trust fund at the World Bank. It aims to pilot and demonstrate ways in which climate risk and resilience may be integrated into core development planning and implementation.
Bilateral funds	Bilateral agreements can provide a direct link between donor and recipient country to finance adaptation though this has proven controversial as such climate finance does not flow under the UNFCCC.
National-level funds	Countries seeking less vulnerability to foreign aid shocks, and/or more directly linking sectoral revenues to adaptation activities are bringing adaptation into budgetary decision-making. National-level funds can also leverage bilateral and multilateral funds, such as Rwanda's Fonds National de l'Environnement (FONERWA).

While LDCs should follow the principle of additional cost when seeking NAP process support, donor countries should also strive to differentiate their adaptation funding support from official development assistance (ODA). LDCs are concerned that adaptation and fast-start funds are partially reallocated from previous donor ODA commitments such as health, education, or infrastructure. Mainstreaming or integrating adaptation plans and measures into development strategies and various levels of government is critical to ensure policy coherence and country ownership. The challenge, however, is that mainstreaming can blur the distinction between adaptation finance and ODA. Accounting for this distinction at both contributor and recipient ends can address this.[34] Efforts to define measurement, reporting and verification (MRV) systems to achieve this are improving under the purview of the UNFCCC Standing Committee on Finance.[35]

Promoting 'enhanced direct access'[36] and defining modalities within the GCF can offer needed clarity to LDCs beginning to define NAP processes and outcomes. While there have been challenges experienced by developing country institutions that have sought accreditation under the two climate funds that allow limited direct access – the Adaptation Fund and the GEF – it is clear there are benefits to enhanced direct access. Enhanced direct access can increase country ownership of adaptation outcomes and increase the amount of finance that reaches intended purposes (via lower transaction costs). Enhanced direct access can also provide a means to help build fiduciary standards within LDC institutions, particularly with National Funding Entities, operating under international guidance and rules, by emphasising credibility, good governance, transparency, and accountability. Reducing transaction costs, time delays, and increasing the quantum of climate finance that reaches national, sub-regional and local needs is of utmost concern to LDCs. For consideration:

- The Governing Instrument of the GCF has provided guidance on access modalities for enhanced access, stating, "[t]he Board will consider additional modalities that further enhance direct access, including through funding entities with a view to enhancing country ownership of projects and programmes".[37]
- Though access modalities to the GCF are still being defined, the GCF Board Decision of March 2013 identified an area of convergence, such that, "[t]he Fund will have a country-driven and owned approach, employ direct access, and other access modalities, and leverage additional public and private resources," and, further, noted "[the Fund should] commence as a fund that operates through accredited national, regional and international intermediaries and implementing agencies".[38]
- Hence, access modalities for the GCF should be defined early on, in order for countries to prepare their NAP process financing plans and arrangements, and also prepare in-country financial institutions for these new responsibilities, should they choose to pursue enhanced direct (and direct) access. LDCs will need to continue to see progress on the GCF and financing for the long run, and adequate levels of finance to meet adaptation needs.

Possibilities also exist for countries to establish their own domestic sources of funding, which may benefit from bilateral funding arrangements. A recent example is the agreement between the UK and Rwanda committing £22.5 million in non-budget support aid over two years to Rwanda's FONERWA, the new basket fund created to address climate change and environmental degradation. While the UK's support is critical to kick-start FONERWA, domestic resources of £1.7 million have been earmarked for the fund, which come from environmental fines and fees, environmental impact assessment fees and other environmental fees. It is the only fund in Rwanda mobilising resources from the government's own revenue sources, making it less vulnerable to external aid shocks.[39] The Bangladesh Climate Change Resilience Fund (BCCRF) is a multi-donor trust fund, managed and implemented by the Government of Bangladesh, with some fiduciary management, transparency and accountability functions performed by the World Bank for a limited duration. As a National Funding Entity, the BCCRF provides a model for how enhanced direct access can work under the GCF. The Bhutan Trust Fund for Environmental Conservation, which had a biodiversity conservation focus, has also widened its scope and opened a window for climate change action, but is currently very limited in scope due to current levels of finance available. Countries are encouraged to identify how to finance climate adaptation as part of the NAP planning process, in order to ensure smooth implementation.

Monitoring

Monitoring and evaluating progress in national adaptation planning and implementation will be very important, though clear guidance from the UNFCCC does not yet exist. The COP has indicated countries should *monitor and review the efforts undertaken, and provide information in their national communications on the progress made and the effectiveness of the national adaptation plan process and other channels*.[40] The LEG technical guidelines go much further, offering considerable advise on how countries can include monitoring and evaluation (M&E) in NAP processes at the national level.[41] The NAP guidelines encourage countries to define a framework and strategy for M&E, as well as a road map, which details sequencing of NAP components, and an M&E plan for the NAP process. The LEG is also developing a Progress, Effectiveness and Gaps (PEG) Monitoring and Evaluation tool to provide an approach for country NAP teams to monitor progress and effectiveness towards the goals and objectives of their NAP process. An Adaptation Committee workshop in September 2013 identified initial framing around a common understanding of success in achieving climate resilience, across scales and actors.[42] However, further refinement including monitoring progress within the UNFCCC process will be necessary.

The UNFCCC can consider how to support "country-driven" approaches for M&E, while also offering guidance to allow for comparability among different countries. Due to the intention of mainstreaming NAP processes within development approaches, countries may be challenged to identify exactly how adaptation measures have differed from business as usual. Drawing from lessons in climate mitigation, the nuances of how a 'baseline' is determined, against which interventions are measured, is not a simple process. Many countries are creating elements of baselines in their vulnerability and risk assessments, in order to project future trajectories and gauge the difference. However, these baselines may shift as more refined assessments occur, and indicators of progress may similarly shift. Assessments of the effect of adaptation response measures require adequate attribution of what caused a change from the baseline, which takes time to determine, but are critical for assessing effectiveness and identifying when and how course-corrections are needed in order to achieve adaptation goals. Countries should also consider how M&E can be monitored at various scales, including community levels, and thus M&E systems should strive for 'downward accountability.'

LDCs will benefit from developing M&E frameworks as part of the NAP process, or which the NAP can fit into, that benefit broader economic development, social and policy-making needs. For instance, Cambodia's Strategic Plan of Rural Development for Climate Change Adaptation seeks to design an M&E system for its 10-year strategy (2013-2022) that will be used in management and decision-making and not only as a reporting mechanism. It will be supported with the Ministry of Rural Development's existing resources committed for its operation.[43] Though not an LDC, Kenya provides a useful example that is highly relevant to LDCs. Kenya's National Climate Change Action Plan includes a proposed National Benefits and Performance Measurement System that includes indicators to measure and report benefits from adaptation actions, and synergies between adaptation and mitigation.

As mentioned in the section on finance above, efforts to MRV systems to track and account for climate finance are being addressed, under the purview of the UNFCCC Standing Committee on Finance.[44] Technical issues and political shortcomings will need to be addressed to improve upon current climate finance MRV practice and reporting.[45]

Conclusions

NAPAs provide a means of communicating information relating to the urgent and immediate adaptation needs of the LDCs, whereas NAPs are meant to build upon NAPAs, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. While this distinction is becoming clearer to Parties, what is not yet clear is how current and future climate finance will distinguish between these two. Further refinement is also needed to define the difference between "formulation" and "implementation" of NAPs when reviewing progress in NAPs at COP 20.

The COP's initial NAP guidelines and the LEG NAP Technical Guidelines place emphasis on building on work already undertaken and in strengthening the enabling environment for a sustainable process for adaptation planning and mainstreaming at the country level. Based on current LDC practice, we find that NAP processes can encourage countries to prioritise and pursue 'no-regrets' adaptation response options; that refining assessments of the economic impacts of climate risks will be of relevance for all LDCs; and as part of NAP processes, LDCs can review critical current and future climate risks, and seek to ensure proposed measures and interventions are designed and prioritised to address these.

A critical objective of NAPs is to facilitate the integration of climate change adaptation into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels. Based on our review of LDCs, solid examples exist of LDCs mainstreaming climate plans into national development and sector plans, which can be models for intervention in NAP processes. Some LDCs have stepped beyond seeking integration, with development plans driving the need at the outset for adaptation planning and responses. NAP processes can provide an important platform to create necessary linkages between existing policies, or to support new ones.

Of great concern to LDCs, based on the NAPA experiences, is whether adequate levels of climate finance will be available to support NAPs (and pre-existing NAPAs), the timing of finance delivery, and the modalities for access. The GEF Council has affirmed support via the LDCF and the SCCF for both planning and preparatory activities, such as strengthening enabling environments, based on diverse country needs and circumstances. However, it is unclear whether funding levels will be sufficient, and how these sources will relate to the GCF. Further refining access modalities within the GCF, particularly 'enhanced direct access' is critical for LDCs seeking reduced transaction costs, overcoming time delays, and deploying funding to sub-regional and local levels where most adaptation response measures occur. Thus, enhanced direct access can greatly increase country ownership of adaptation interventions. Methods for differentiating adaptation support from development aid will be important. One way to achieve this is by refining measurement, reporting and verification systems for adaptation finance.

The monitoring and evaluation of progress in adaptation planning and implementation at both national and international levels will be very important, though clear guidance from the UNFCCC does not yet exist. LDCs will benefit from developing M&E frameworks as part of the NAP process, or which the NAP can fit into, that benefit broader economic development, social and policy-making needs.

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