

# **National Adaptation Plans: Submission by Gambia on behalf of the Least developed Countries Group**

## **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 NAPs.

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.

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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.

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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/CP.16;
- 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;

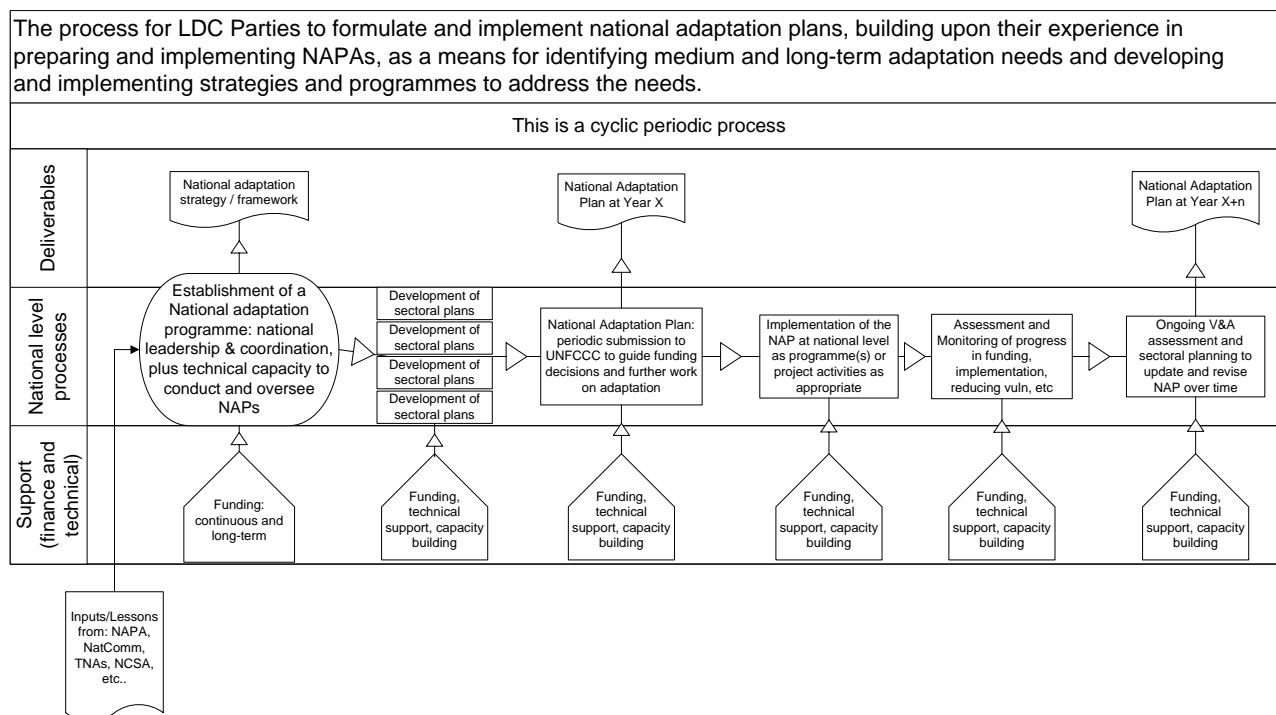
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- NAPA preparation and implementation has to continue to address urgent and immediate needs through projects, and financial support should be scaled up and made more predictable;
- The NAP process complements the NAPA process by addressing medium- 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;

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- 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.

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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.

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### 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.

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- 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



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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 foreseen 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.

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- 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/CP16.
  - 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/CP16.

### 4. IMMEDIATE NEXT STEPS (AFTER COP17)

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- 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.