

LEAST DEVELOPED  
COUNTRIES

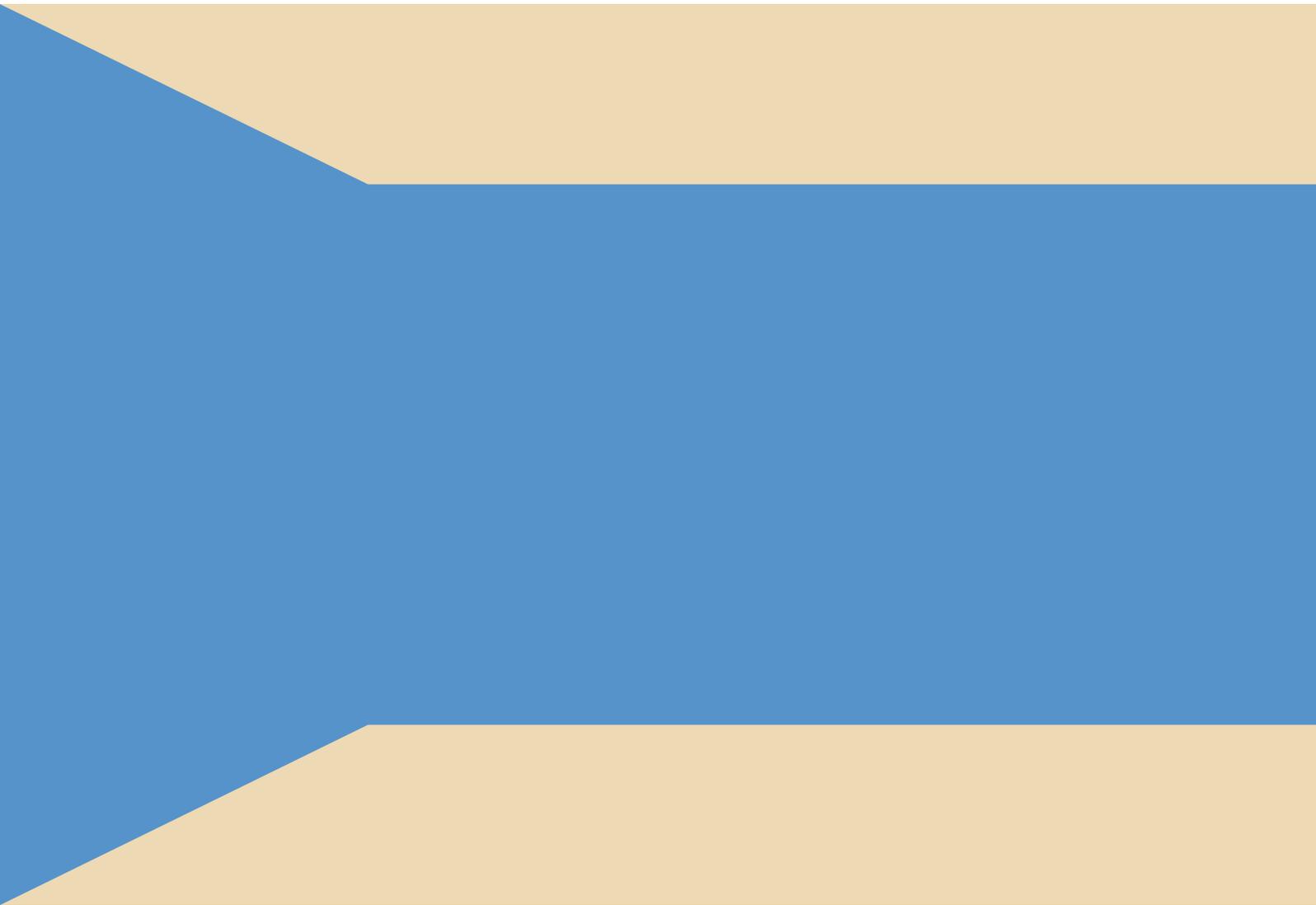
# BEST PRACTICES AND LESSONS LEARNED

in addressing adaptation in the least developed countries through  
the national adaptation programme of action process, volume 1

LDC EXPERT GROUP



**United Nations**  
Climate Change



## BEST PRACTICES AND LESSONS LEARNED

IN ADDRESSING ADAPTATION IN  
THE LEAST DEVELOPED COUNTRIES  
THROUGH THE NATIONAL  
ADAPTATION PROGRAMME OF  
ACTION PROCESS, VOLUME 1

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# FOREWORD

EXECUTIVE SECRETARY, UNFCCC

The challenge of adapting to climate change, particularly for the least developed countries (LDCs), is an issue that has been well recognized in the UNFCCC process and in subsequent deliberations on the issue. National adaptation programmes of action (NAPAs) embody this by recognizing the urgent and immediate needs of LDCs to adapt to climate change and by providing a special window for funding. The NAPA process, and the establishment of the Least Developed Countries Fund, were steps taken to address this concern at the seventh session of the Conference of the Parties in 2001.

Most LDCs have now prepared their NAPAs and embarked on the implementation of the identified projects. There is clear evidence that LDC Parties, through the preparation and implementation of their NAPAs, have gained a wealth of knowledge and awareness of climate change, developed best practices and learned valuable lessons.

At the sixteenth session of the Conference of the Parties in Cancun, Mexico, in December 2010, governments further recognized that adaptation must be addressed with the same priority as mitigation, and adopted the Cancun Adaptation Framework (CAF) to enhance action on adaptation. The CAF includes a process to enable LDC Parties, building upon their experience with the NAPAs, to formulate and implement national adaptation plans and an invitation to other developing country Parties to employ the modalities formulated to support those plans. It is in this context that other Parties have shown increased interest in learning from the experiences of the LDC Parties in the NAPA process.

In recognition of this interest, the LDC Expert Group (LEG), in consultation with LDC Parties and the Global Environment Facility (GEF) and its agencies, with support from the UNFCCC secretariat, have prepared this publication to share information on a decade of rich experiences, best practices and lessons learned in addressing adaptation in LDCs through the NAPA process.

I trust that this publication will greatly contribute to advancing the discussions on adaptation in the future.



**Christiana Figueres**, *Executive Secretary*  
United Nations Convention on Climate Change  
September 2011



#### CHAIR, LDC EXPERT GROUP

The LDC Expert Group (LEG) was established in 2001 as part of the framework to support LDCs in addressing the adverse impacts of climate change. Since that time, the LEG has provided advice to LDCs on the preparation and implementation of NAPAs. In addition, as outlined by its new mandate, received at the sixteenth session of the Conference of the Parties in Cancun, Mexico, the LEG is now also providing technical guidance and advice on: the revision and update of NAPAs; the strengthening of gender considerations and considerations regarding vulnerable populations; the integration of NAPAs into development planning; the identification and implementation of medium- and long-term adaptation and the implementation of all the elements of the LDC work programme.



The LEG, by the nature of its function, has had the privilege to witness not only the challenges but also the progress made by and achievements of the LDCs in addressing their urgent and immediate adaptation needs through the NAPA process. NAPAs have increased the collective knowledge on adaptation to climate change at the national and international levels, raised awareness and provided hands-on experience in implementing concrete adaptation projects on the ground. The UNFCCC secretariat, the LEG, the GEF and its agencies and other partners and organizations have been committed throughout the NAPA process to support the LDCs in their efforts.

In every respect, the LDCs are pioneers in addressing issues related to adaptation to climate change. While many challenges remain, the time has come to shed light on the best practices and important lessons learned from the NAPA process. This publication provides the LEG with an initial opportunity to share these experiences with the wider international community, in the hope that they will provide insights for replicating and learning from these lessons on a larger scale.

A handwritten signature in blue ink, reading "P. Latasi".

**Pepetua Election Latasi**, *Chair of the LEG*

September 2011

#### CHAIR, LDC GROUP

The Fourth United Nations Conference on the Least Developed Countries, held in Istanbul in May 2011, demonstrated that at a time when the international community continues to grapple with the impacts of multiple yet mutually reinforcing economic, and financial and food and fuel crises, the vulnerabilities of LDCs have been further accentuated. In addition to these crises, climate change is one of the most complex and urgent challenges facing humanity today. Of the world's inhabitants, it is the citizens of the LDCs who are the most vulnerable, due to a combination of environmental vulnerability, inadequate resources and poverty. To the LDCs, adaptation to climate change means: addressing the urgent and immediate effects of climate change; building the requisite capacity, measures and policies to deal with the new challenges posed by climate change that emerge every day; and climate-proofing social and economic development for today and for the future, all in a sustainable manner.



The NAPA process, and the wealth of knowledge and lessons it has generated in the LDCs, has undoubtedly been a rewarding first step in addressing the specific adaptation needs of the LDCs. The LDCs are grateful for the support provided by the LEG in the preparation and implementation of their NAPAs. The LDCs also recognizes the financial and technical support of the GEF and its implementing agencies. However, in order to move ahead – in particular to address medium- and long-term adaptation needs – LDCs will need increased financial, technical and technological support from development partners and the international community to strengthen their capacity and reduce their vulnerability to climate change.

We, the LDCs, believe that this publication, by highlighting the achievements of the NAPA process and sharing the best practices and lessons learned from that process, will create a catalytic effect which will encourage the international community to scale up its adaptation efforts.

A handwritten signature in blue ink, appearing to read 'Pa Ousman Jarju'. The signature is stylized and includes a small graphic element above the name.

**Pa Ousman Jarju**, *Chair of the LDC Group*  
under the intergovernmental process of the UNFCCC  
September 2011



## ACKNOWLEDGEMENTS

This publication was prepared by the LEG with support from the Adaptation Programme of the UNFCCC secretariat. This guidebook is the result of close collaboration between the consultant, Sofia Shellard, who drafted the bulk of the text, and staff of the UNFCCC secretariat. In carrying out this task, they received valuable assistance and advice from members of the LDC Expert Group and numerous members of LDC NAPA teams, and representatives of the GEF and its agencies.

Special acknowledgement is due to the Governments of Canada, Romania, and the European Union, for their generous financial support, without which the publication of this guidebook would not have been possible.

### ACRONYMS AND ABBREVIATIONS

CEO	Chief Executive Officer
COP	Conference of the Parties
FSP	full-sized project
GEF	Global Environment Facility
LDC	least developed countries
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
NAPA	national adaptation programme of action
NGO	non-governmental organization
PIF	project identification form
PPG	project preparation grant
UNFCCC	United Nations Framework Convention on Climate Change

# I. INTRODUCTION

## 1.1. INTRODUCTION TO THE LDCs UNDER THE UNFCCC

The United Nations identifies 48 countries as belonging to the group of LDCs, based on three criteria: low income; weak human assets; and high economic vulnerability. There are 33 LDCs in Africa, nine in Asia, one in the Caribbean and five in the Pacific.

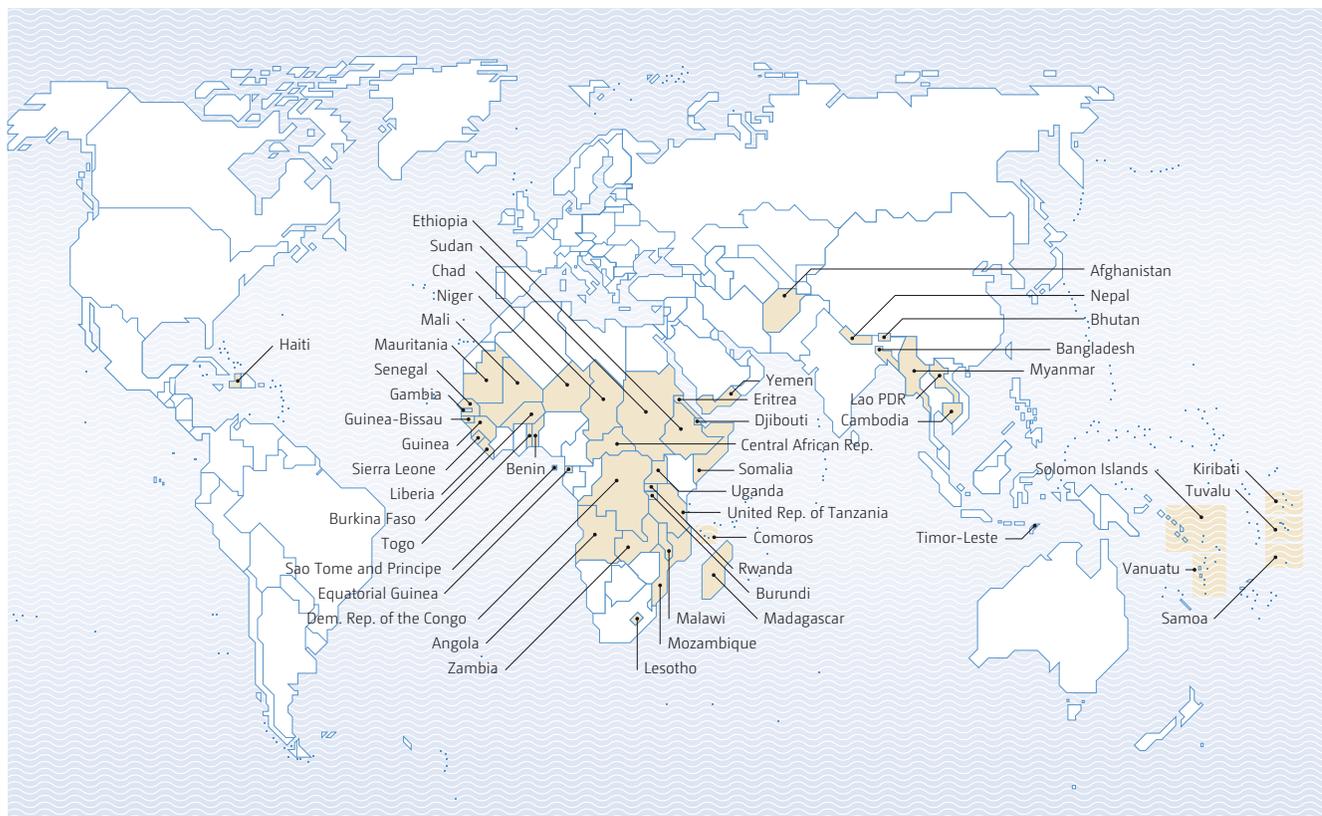
At present, all of the 48 LDCs are Parties to the UNFCCC<sup>1</sup> (see [FIGURE I-1 below](#)).

The Convention recognizes the special situation of the LDCs in dealing with climate change in its Article 4, paragraph 9, which states that: *“The Parties shall take full account of the specific needs and special situations of the least developed countries in their actions with regard to funding and transfer of technology.”*

### 1.1.1. DEFINING ADAPTATION UNDER THE NAPA PROCESS

Adaptation involves reducing the impacts of climate change that are happening now and increasing resilience to future impacts, taking into account the urgent and immediate needs of the developing countries that are particularly vulnerable.

Figure I-1. The least developed countries as at February 2011



Adaptation is being addressed by Parties under the various Convention bodies by means of, inter alia:

- Developing guidance for the preparation and implementation of NAPAs and the implementation of the LDC work programme;
- Developing guidance to support adaptation through finance, technology and capacity-building;
- Increasing adaptation knowledge and capacity for vulnerability and adaptation assessments and decision making through the Nairobi work programme on impacts, vulnerability and adaptation to climate change,<sup>2</sup> the development and transfer of technologies, and research and systematic observation;
- Providing enhanced action on adaptation through the CAF,<sup>3</sup> which resulted from negotiations as part of the Bali Action Plan under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).

Within the NAPA process, adaptation to climate change is further defined as:

*human-driven* adjustments in ecological, social or economic systems in response to actual or expected climate stimuli and their effects or impacts. Each of these systems has multiple levels and components that cascade multiple temporal and spatial scales, often interacting with each other in complex ways. The adjustments and interventions can thus be at any appropriate entry point in these interacting multidisciplinary and multi-scaled systems. Adaptation can take the form of activities designed to enhance the adaptive capacity of the respective system, or actions that modify socio-economic and environmental systems to avoid or minimize the damage caused by climate change. Methods for achieving these include implementing new activities that are exclusively in response to climate change, or the modification of existing activities to make them more resilient to future climate change risks (climate-proofing).

Further, adaptive capacity then refers to the potential or ability of a system (social, ecological, economic, or an integrated system such as a region or community) to minimize the effects or impacts of climate change, or to maximize the benefit from the positive effects of climate change.<sup>4</sup>

### 1.1.2. THE LDC WORK PROGRAMME

The LDC work programme was defined through decision 5/CP.7 of the seventh session of the Conference of the Parties (COP 7) in 2001. The COP acknowledged the specific needs and special situations of LDCs, in that they are least capable of dealing with the adverse effects of climate change, and established an LDC work programme, which includes:

- (a) Support to the preparation and implementation of NAPAs;
- (b) 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;
- (c) Provision of training, on an ongoing basis, in negotiation skills and language, where needed, to develop the capacity of negotiators from the LDCs to participate effectively in the climate change process;
- (d) Promotion of public awareness programmes to ensure the dissemination of information on climate change issues;
- (e) Development and transfer of technologies, particularly adaptation technologies (in accordance with decision 4/CP.7);
- (f) Strengthening of the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support the implementation of NAPAs.

The LDC work programme was established together with the LDC Fund (LDCF) to support its implementation and the LEG to provide technical guidance and advice on the preparation and implementation of NAPAs. Full background information on the LDC work programme is available in recent LEG publications.<sup>5</sup>

<sup>1</sup> An up-to-date list of the LDCs is available at <<http://www.unctad.org/Templates/Page.asp?intItemID=3641&lang=1>>.

<sup>2</sup> See <<http://unfccc.int/3633.php>>.

<sup>3</sup> See <<http://unfccc.int/5852.php>>.

<sup>4</sup> UNFCCC. 2009. *Step-by-Step Guide for Implementing National Adaptation Programmes of Action*. p. 3. Available at <[http://unfccc.int/resource/docs/publications/lcd\\_napa2009.pdf](http://unfccc.int/resource/docs/publications/lcd_napa2009.pdf)>.

<sup>5</sup> Information on the LDC work programme, a brochure, and a link to the LEG technical paper *National Adaptation Programmes of Action: Overview of Preparation, Design of Implementation Strategies and Submission of Revised Project Lists and Profiles* are available at the LDC Portal at <[www.unfccc.int/lcd](http://www.unfccc.int/lcd)>.

The four major decisions related to the LDCs which were adopted at COP 7 are listed below:

- Decision 7/CP.7: Funding under the Convention; establishment of the LDCF;
- Decision 27/CP.7: Guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the LDCF;
- Decision 28/CP.7: Guidelines for the preparation of NAPAs;
- Decision 29/CP.7: Establishment of the LEG.

In addition, a framework for capacity-building for developing countries was adopted under decision 2/CP.7. The framework gives an initial assessment of the needs and priority areas for capacity-building in LDCs and small island developing States (SIDS). Many of its elements, contained in paragraph 17 of the annex to decision 2/CP.7, are closely interrelated with the elements of the LDC work programme, including:

- (a) *Strengthening existing and, where needed, establishing national climate change secretariats or focal points to enable the effective implementation of the Convention and effective participation in the Kyoto Protocol process, including the preparation of national communications;*
- (b) *Developing an integrated implementation programme which takes into account the role of research and training in capacity-building;*
- (c) *Developing and enhancing technical capacities and skills to carry out and effectively integrate vulnerability and adaptation assessment into sustainable development programmes and develop national adaptation programmes of action;*
- (d) *Strengthening existing and, where needed, establishing national research and training institutions in order to ensure the sustainability of the capacity-building programmes;*
- (e) *Strengthening the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information to support the implementation of national adaptation programmes of action;*
- (f) *Enhancing public awareness (level of understanding and human capacity development).*

### 1.1.3. THE LDC EXPERT GROUP

The COP, at its seventh session, decided to establish the LDC Expert Group (LEG), to be nominated by Parties, with the objective of supporting the preparation and implementation strategy of NAPAs. The COP, at its sixteenth session, reviewed the progress of the work and terms of reference of the expert group and decided to extend the LEG for a further five years (2011–2015) under its current mandate. As established under decisions 6/CP.16, 8/CP.13, 4/CP.11 and 29/CP.7, the LEG is mandated as follows:

- (a) To provide technical guidance and advice on the preparation and implementation strategy of NAPAs, including the identification of possible sources of data and its subsequent application and interpretation, upon request by LDC Parties;
- (b) To develop a work programme that includes the implementation of NAPAs;
- (c) To serve in an advisory capacity to the LDCs, for the preparation and implementation strategy of NAPAs through, inter alia, workshops, upon request by LDC Parties;
- (d) To advise on capacity-building needs for the preparation and implementation of NAPAs and to provide recommendations, as appropriate, taking into account the Capacity Development Initiative of the GEF and other relevant capacity-building initiatives;
- (e) To facilitate the exchange of information and to promote regional synergies, and synergies with other multilateral environment conventions, in the preparation and implementation strategy of NAPAs;
- (f) To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development;
- (g) To develop a work programme that takes into account the Nairobi work programme;
- (h) To provide technical guidance and advice on the revision and update of NAPAs to further improve their quality, to facilitate the integration of adaptation actions of LDCs into development planning and to reflect increased adaptation knowledge and changed priorities in the countries, upon request by LDC Parties;

- (i) To provide technical guidance and advice on the identification of medium- and long-term adaptation needs, their integration into development planning and the implementation of identified adaptation activities;
- (j) To provide technical guidance and advice on strengthening gender-related considerations and considerations regarding vulnerable communities within LDC Parties;
- (k) To provide technical guidance and advice on the implementation of the elements of the LDC work programme other than the preparation and implementation of NAPAs that are relevant to the expertise of the LEG.

The LEG is constituted of 13 experts, namely:

- Five from African LDC Parties;
- Two from Asian LDC Parties;
- Two from small island LDC Parties;
- Three from Parties included in Annex II to the Convention;
- One from another LDC Party.

#### 1.1.4. THE FINANCIAL MECHANISM OF THE CONVENTION AND ITS OPERATION

The Convention established a financial mechanism to provide financial resources to support the actions by developing country Parties in addressing climate change. Developed country Parties (Parties included in Annex II to the Convention ) shall provide financial resources to assist developing country Parties in implementing the Convention.

The Parties to the Convention entrusted the operation of the financial mechanism to the GEF on an ongoing basis, subject to review every four years. The financial mechanism is accountable to the COP, which decides on its climate change policies, programme priorities and eligibility criteria for funding, based on advice from the Subsidiary Body for Implementation (SBI).

Three funds have been established for operation under the financial mechanism: the Special Climate Change Fund (SCCF) and the LDCF, both under the Convention; and the Adaptation Fund (AF), under the Kyoto Protocol, which are the main means through which adaptation activities are financed.

The LDCF, operationalized in 2002, was established to support a work programme to assist LDCs to carry out, inter alia, the preparation and implementation of NAPAs.

As of May 2011, 43 countries had officially submitted one or more projects and 28 projects had already been endorsed by the Chief Executive Officer (CEO) of the GEF to start implementation on the ground.<sup>6</sup>

The SCCF, operationalized in 2001, finances projects related to: adaptation; technology transfer and capacity-building; energy, transport, industry, agriculture, forestry and waste management; and economic diversification.

As of April 2011, there were 22 adaptation projects in the pipeline.<sup>7</sup>

The AF, operationalized in 2007, is financed from the share of proceeds from the clean development mechanism (CDM) project activities and other sources of funding. As of June 2011, 10 fully-developed projects had already been approved.

#### 1.1.5. THE LDC FUND

The LDC Fund (LDCF) was established, in accordance with decision 7/CP.7, to support a work programme to assist LDC Parties to carry out, inter alia, the preparation and implementation of NAPAs.

<sup>6</sup> Further information on the LDCF is available at <<http://www.thegef.org/gef/LDCF>>.

<sup>7</sup> Further information on the SCCF is available at <<http://www.thegef.org/gef/SCCF>>.

The GEF, as an operating entity of the financial mechanism of the Convention, has been entrusted to operate this fund under decision 27/CP.7. Under this decision, guidance was provided to the GEF on the operation of the fund, with an initial focus on support for the preparation of NAPAs.

The GEF published its *Operational Guidelines for Expedited Funding for the Preparation of National Adaptation Programs of Action by Least Developed Countries* in April 2002, and GEF agencies were able to submit proposals on behalf of LDC Parties for the preparation of NAPAs. As of May 2009, all LDCs, including Cape Verde which graduated in December 2007 and Maldives in January 2011, had received funding for the preparation of NAPAs and, as of September 2011, a total of 46 NAPAs had already been submitted.

The COP, at its eleventh session in December 2005, agreed on provisions to operationalize the LDCF to support the implementation of NAPAs. The COP provided further guidance with regard to priority areas and provisions for full-cost funding and a co-financing (sliding) scale in decision 3/CP.11.

As of June 2011, almost all LDC Parties that had completed the NAPA preparation process were in various stages of NAPA implementation, with some countries having successfully completed the LDCF project cycle for their first NAPA project and a few projects currently in full implementation on the ground.

A review of the experiences gained from implementing the LDC work programme, including those in accessing funds from the LDCF, was conducted at COP 16.<sup>8</sup>

## 1.2. IMPACTS, VULNERABILITY AND ADAPTIVE CAPACITY TO CLIMATE CHANGE IN THE LDCS

### 1.2.1. IMPACTS

The impacts of climate change, climate variability and extreme events are experienced in multiple ways.

#### INCREASE IN THE FREQUENCY OF FLOODS, DROUGHTS AND OTHER DISASTERS

Climate change induced shifts in rainfall patterns can lead to unpredictable storms and flash flooding, as well as in aggravated drought-related events, such as crop failure, heatwaves, drying of water reservoirs and, consequently, water scarcity, famine and loss of human and animal lives, in addition to general environmental degradation.

A 2010 report from the United Nations Conference on Trade and Development (UNCTAD) found that the frequency and intensity of extreme weather events in LDCs (e.g. droughts, extreme temperature and floods) have been increasing, with five times as many such incidents occurring during the period 2000–2010 as during the period 1970–1979. The number of people in LDCs affected by these extreme events has almost doubled, rising from 100 million during the period 1970–1979 to 193 million during the period 2000–2010.<sup>9</sup>

Another well-known effect of climate change is sea level rise, which can be brought about by the melting of mountain glaciers, icecaps and ice sheets, and the expansion of warming oceans, all caused by global warming. The expected global average sea level rise will not only have a devastating effect on small island States – a number of which are LDCs – but will also cause significant disruption to coastal plains, which house 70 per cent of the world's population.<sup>10</sup> According to projections, about 15 per cent of the population of Bangladesh, for instance, could be affected by a 1.5 m rise, as well as 16 per cent of the country's total land area.

Bangladesh, Mozambique and a number of other low-lying LDCs, are also considerably susceptible to storm surges, which will be intensified by both a rising sea level and by increased cyclone activity caused by warmer oceans.

In addition to causing sea level rise, rapid melting of glaciers can also dramatically increase the risk of glacial lake outburst floods (GLOFs). GLOFs are very specific to mountainous areas and their destructive impact is very high. Afghanistan, Bhutan and Nepal are LDCs at great risk of GLOFs, which can cause significant damage to infrastructure and to communities living in the surrounding areas.

#### INCREASE IN THE PREVALENCE AND SEVERITY OF DISEASE

The increased magnitude and frequency of floods and other disasters can also impact on the prevalence and severity of disease outbreaks, such as malaria, dengue fever and cholera. The incidence of waterborne diseases could increase with rising mean temperatures leading to the infestation of disease vectors in areas that have been too cold for them, affecting populations that had previously been unexposed.

LDCs have the largest existing burdens of climate-sensitive diseases and the least effective public health systems. They suffer 34 per cent of the global human deaths linked to

climate change – the largest causes being the spread of malaria and waterborne diseases – and this percentage is expected to rise to 41 per cent by the year 2030.<sup>11</sup>

#### CONSTRAINTS AND SHOCKS TO ECONOMIC DEVELOPMENT

In addition to fatalities, disasters, such as floods, excessive rainfall, droughts and cyclones cause considerable economic loss and disruption of livelihoods. In the context of a globalized economy, a lack of economic diversity and a reliance on climate-sensitive commodities for export, such as agricultural products, expose LDCs to the double threat of economic and environmental shocks.<sup>12</sup> For example, it is estimated that, for every 1 °C rise in average global temperatures, average annual growth in poor countries could drop by two to three percentage points, with no change in the growth performance of developed countries.<sup>13</sup>

Given that many LDCs depend primarily on agricultural activities both for economic development and for the subsistence of local populations, disasters can trap LDCs in a cycle of economic and environmental crises. Loss of crop production can exacerbate livelihood insecurity and can, in turn, reduce the capacity to prepare for and respond to future disasters. A report by the Global Humanitarian Forum, led by former United Nations Secretary-General Kofi Annan, found that climate change already delivers economic losses amounting to USD 125 billion a year, with 90 per cent of the burden experienced by developing countries.<sup>14</sup>

The floods experienced by Mozambique during the years 2000–2001, for example, resulted in a significant reduction in the country's GDP growth when compared to the previous years. A considerable proportion of the country's cultivated land was damaged, as was Mozambique's functioning infrastructure. The floods were caused by heavy rainfall events and are considered the most severe flooding in 100 years in three of Mozambique's river basins.

#### 1.2.2. VULNERABILITY

The Intergovernmental Panel on Climate Change (IPCC) defines vulnerability as the degree to which a system is susceptible to, and unable to cope with, the adverse effects of climate change, including climate variability and extremes.<sup>15</sup> The vulnerability of a group of people depends on the extent to which it is exposed to external change, including environmental or socio-political stress, its sensitivity or the degree to which it is affected due to

such exposure, and its adaptive capacity or ability to make the changes necessary to avoid adverse consequences.

Vulnerability assessments are a useful tool for informing local, national and global actions to plan and respond to the impacts of climate change, climate variability and extreme events, desertification and the loss of biological diversity. In the context of climate change, vulnerability assessments are used for adaptation interventions, such as the NAPAs. Vulnerability assessments may also be used to influence policymaking and the allocation of financial resources among countries or regions. They can also form an important component of the review of progress in the implementation of commitments that aim to reduce vulnerability.

There is no right or objective method to measure vulnerability. However, various decisions must be made in any vulnerability assessment, and much depends on the criteria, methods and data available. Decisions that must be made include criteria such as: the entity or system assessed (e.g. a country population distribution, a community or a forest ecosystem); the threat and its relationship to climate change (e.g. sea level rise or disease); the notion of 'worse' or 'better' with respect to the entity and the threat (e.g. the number of people made homeless or the cost in USD); the time frame used for assessment (e.g. 10 as compared to 50 years); and the ability of a given entity to react in response to a threat, or its adaptive capacity, and how this should be measured.<sup>16</sup>

<sup>8</sup> See <<http://unfccc.int/resource/docs/2010/sbi/eng/17.pdf>>.

<sup>9</sup> UNCTAD. 2010. *The Least Developed Countries Report 2010: Towards a New International Development Architecture for LDCs*. p. ix. Available at <[http://www.unctad.org/en/docs/ldc2010\\_embargo\\_en.pdf](http://www.unctad.org/en/docs/ldc2010_embargo_en.pdf)>.

<sup>10</sup> Greenpeace. 2006. *Sea Level Rise*. Available at <[http://www.greenpeace.org/international/en/campaigns/climate-change/impacts/sea\\_level\\_rise/](http://www.greenpeace.org/international/en/campaigns/climate-change/impacts/sea_level_rise/)>.

<sup>11</sup> DARA. (2010). *Climate Vulnerability Monitor 2010*. p. 16.

<sup>12</sup> O'Brien KL and Leichenko RM. 2000. Double exposure: assessing the impacts of climate change within the context of economic globalization. *Global Environmental Change*. 10(3): pp. 221–232.

<sup>13</sup> UNCTAD. 2010. *The Least Developed Countries Report 2010: Towards a New International Development Architecture for LDCs*. p. ix. Available at <[http://www.unctad.org/en/docs/ldc2010\\_embargo\\_en.pdf](http://www.unctad.org/en/docs/ldc2010_embargo_en.pdf)>.

<sup>14</sup> Global Humanitarian Forum. 2010. *The Anatomy of a Silent Crisis*. Available at <<http://www.eird.org/publicaciones/humanimpactreport.pdf>>.

<sup>15</sup> IPCC. 2007. *Climate Change 2007: Synthesis Report. Contribution of Working Groups I, II and III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change*. Available at <[http://www.ipcc.ch/pdf/assessment-report/ar4/syr/ar4\\_syr.pdf](http://www.ipcc.ch/pdf/assessment-report/ar4/syr/ar4_syr.pdf)>.

<sup>16</sup> Füssel HM. 2007. Adaptation planning for climate change: concepts, assessment approaches, and key lessons. *Sustainability Science*. 2(2): p. 265; Füssel HM. 2006. Climate change vulnerability assessments: an evolution of conceptual thinking. *Climatic Change*. 75(3): p. 301; Ionescu C. 2009. Towards a formal framework of vulnerability to climate change. *Environmental Modelling and Assessment*. 14(1): p. 1.

The most useful vulnerability models for informing concrete actions on the ground consider local, social and ecological systems and needs, local cultures, politics, values and knowledge systems. Such approaches actively engage various stakeholders, particularly those that are considered vulnerable. This is particularly important when vulnerability assessments are used to design interventions to increase adaptive capacity and reduce vulnerability in a particular locality.

### 1.2.3. ADAPTIVE CAPACITY

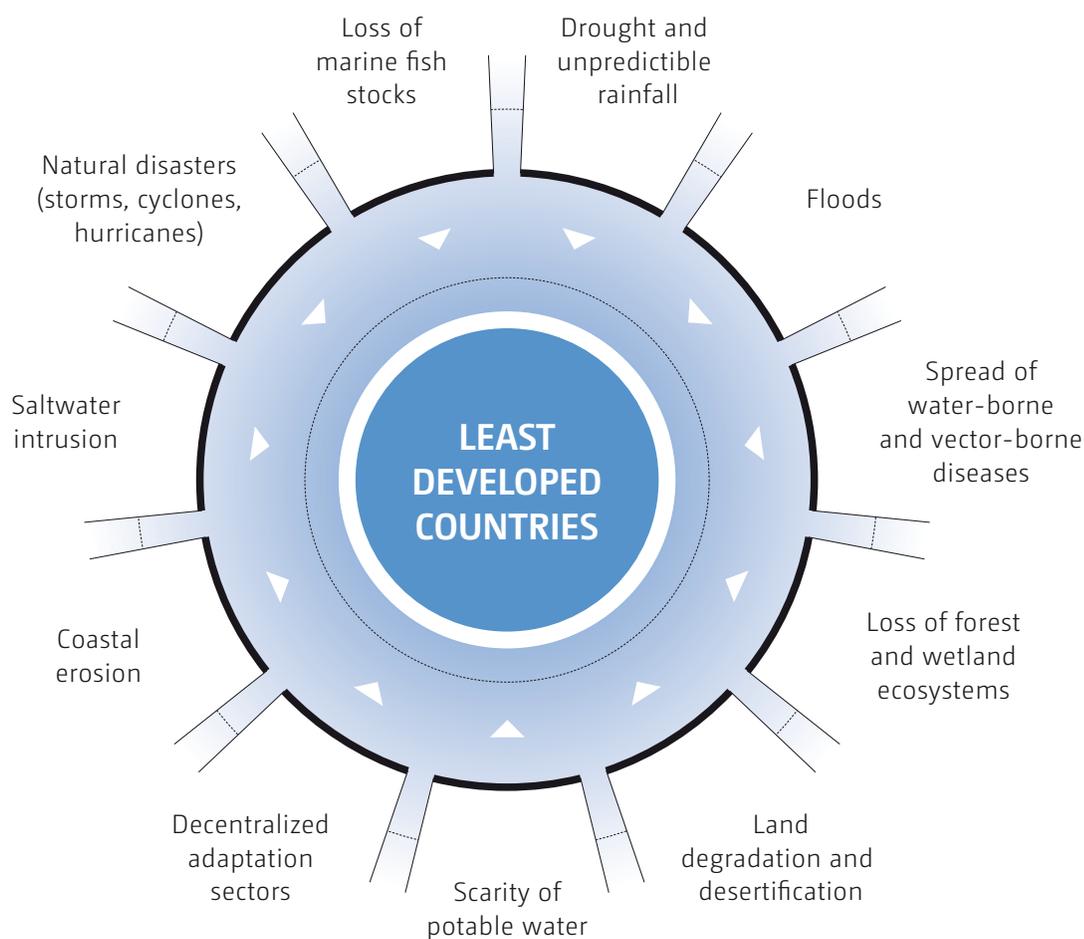
In addition to facing disproportionate exposure to climate change and environmental degradation, the LDCs are least capable of preparing for and recovering from the impacts of climate change – this is known as adaptive capacity. Some of the key elements that typically enable a country to have adaptive capacity, and thus reduce its vulnerability to the adverse effects of environmental change, include a stable and prosperous economy, a high degree of access to

technology, clearly delineated roles and responsibilities for the implementation of adaptation activities, robust information dissemination systems and equitable access to resources.<sup>17</sup> The LDCs frequently lack these key elements due to the fact that they have the lowest socio-economic indicators of development. Thus, adaptive capacity among the LDCs is generally weak.

Many of the impacts of climate change over the next few decades are unavoidable. Greenhouse gases released into the atmosphere will continue to warm the planet regardless of any changes that we make today. And, while a high level of harm to human populations in the LDCs is inevitable, the scale of this harm will be influenced by measures taken to build adaptive capacity in the LDCs, taking into account their vulnerability.

<sup>17</sup> IPCC. 2001. *IPCC Third Assessment Report: Climate Change 2001. Impacts, Adaptation, and Vulnerability.*

Figure I-2. Key vulnerabilities in the LDCs



## II. THE NAPA PROCESS

### 2.1. OVERALL APPROACH OF THE NAPAS

In order to address the urgent adaptation needs of the LDCs, a new approach was needed that would focus on enhancing adaptive capacity to climate variability, which itself would help address the adverse effects of climate change.<sup>18</sup>

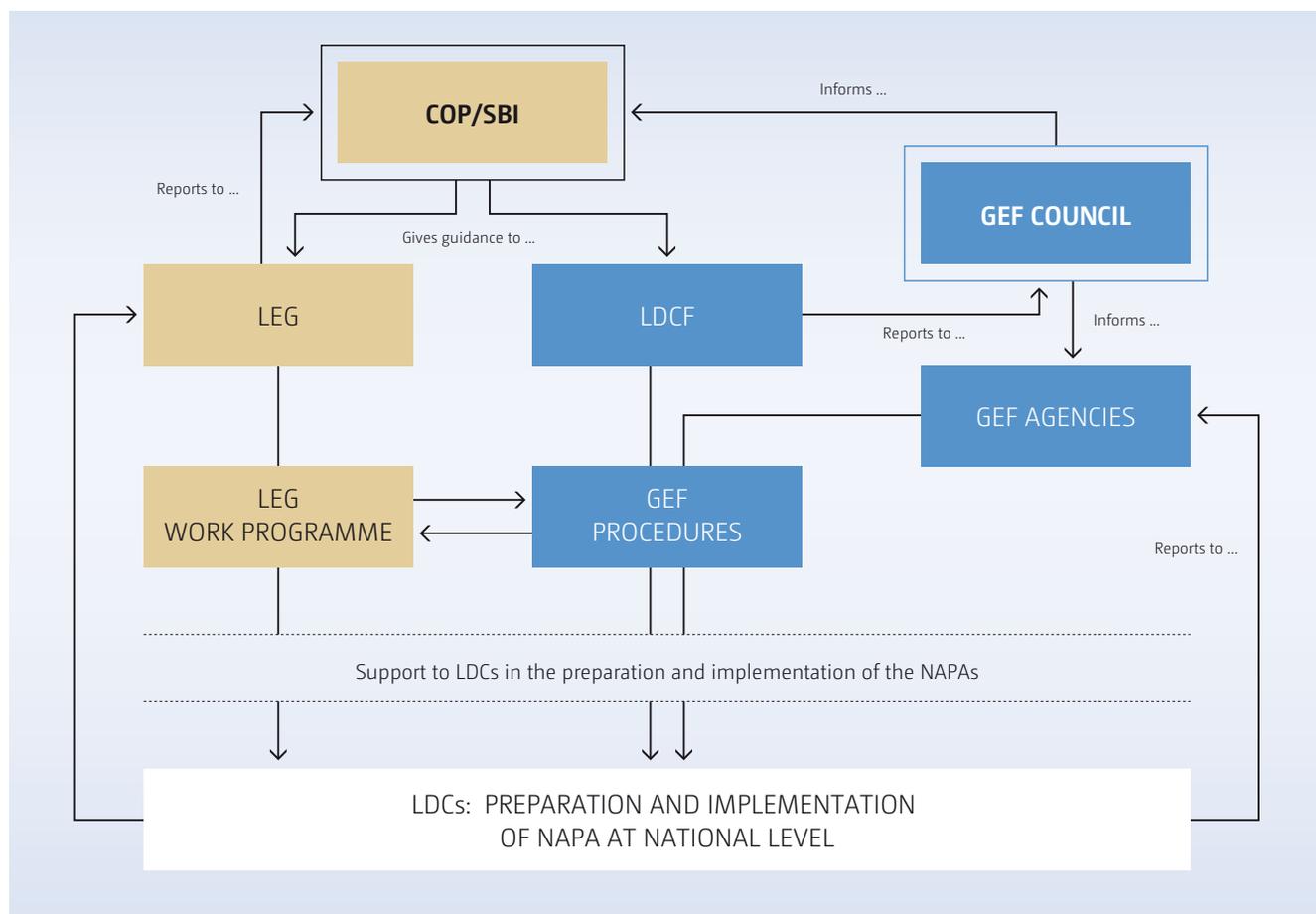
NAPAs provide a process for the LDCs to identify priority activities that respond to their urgent and immediate needs with regard to adaptation to climate change, taking into account that further delay could increase vulnerability or lead to increased costs at a later stage. The rationale for NAPAs rests on the limited ability of the LDCs to adapt to the adverse effects of climate change.

In the NAPA process, prominence is given to community-level input as an important source of information, recognizing that grass-roots communities are the main stakeholders. NAPAs take into account existing coping strategies at the grass-roots level and build thereon to identify priority activities, rather than focusing on scenario-based modelling to assess future vulnerability and long-term policy at state level.

NAPAs are therefore designed to use existing information, without the need for additional comprehensive assessments and research before the plans can be completed. They must be action-oriented, country-driven, flexible and based on national circumstances. Finally, NAPA documents should be presented in a simple format which can be easily understood by policy-level decision makers and the public.

<sup>18</sup> Decision 28/CP.7.

Figure II-3. Flowchart describing the global components and reporting lines of the NAPA process



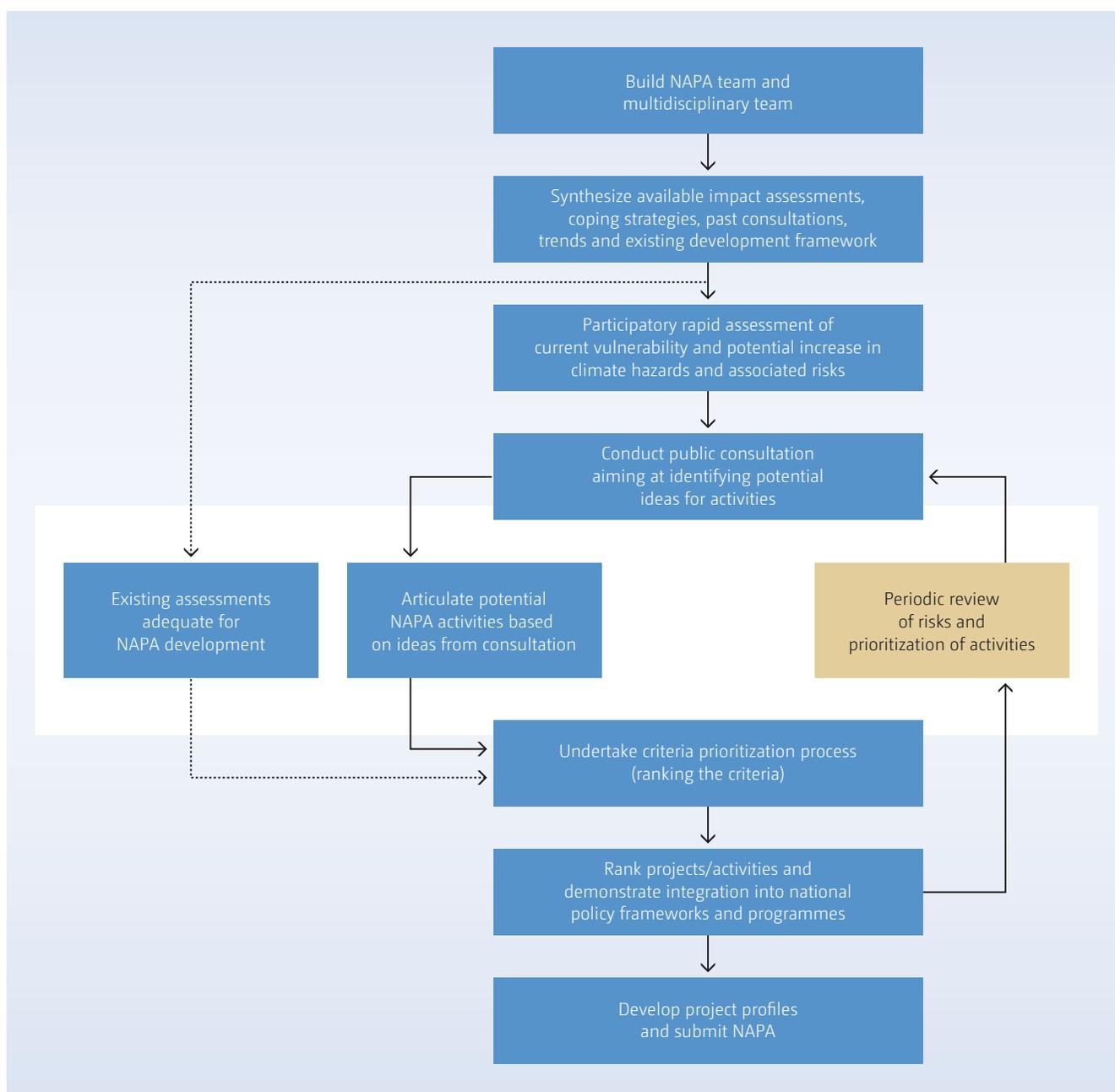
## 2.2. THE NAPA PREPARATION PROCESS

The steps involved in the preparation of a NAPA include: a synthesis of available information; the participatory assessment of vulnerability to current climate variability and extreme events and of areas where risks could increase as a result of climate change; the identification of key adaptation measures as well as criteria for prioritizing activities; and the selection of a prioritized shortlist of activities. The NAPA development process also includes

short profiles of the projects and/or activities that aim to address the urgent and immediate adaptation needs of LDC Parties (see [FIGURE II-4](#) below).

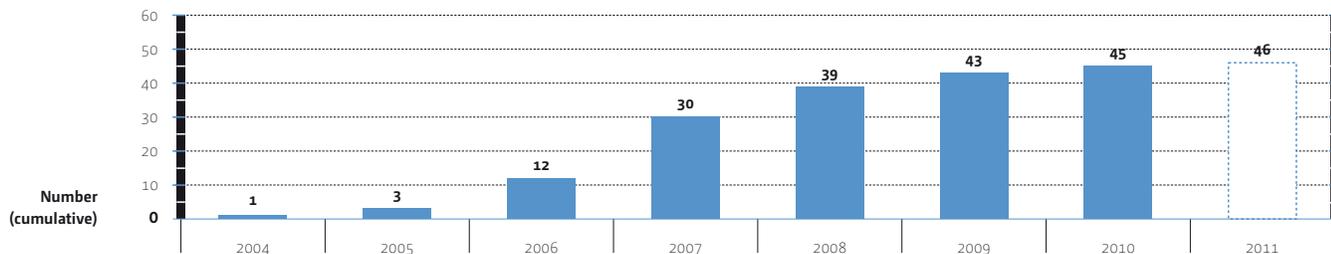
Upon completion, the NAPA is submitted to the UNFCCC secretariat, where it is posted on the website, and the LDC Party becomes eligible to apply for funding for implementation of the NAPA under the LDCF. A copy of the NAPA is also sent to the GEF.

**Figure II-4. Flowchart of the main steps involved in developing a NAPA, as provided in the LEG Annotated Guidelines for NAPA Preparation**



Abbreviation: NAPA = national adaptation programme of action

Figure II-5. Graph showing the cumulative number of NAPAs submitted to the UNFCCC



Abbreviation: NAPA = national adaptation programme of action

### 2.3. ACCESSING RESOURCES FROM THE LDCF: THE GEF AND ITS AGENCIES

The GEF is the operating entity of the LDCF and, as such, it receives guidance from and reports to the COP on the management of the LDCF.

The LDCF follows the governance structure, fiduciary standards, result-based frameworks, and monitoring and evaluation practices of the GEF.<sup>19</sup> When no operational guidance is given by the COP, the LDCF also follows GEF operational policies.

Between 2001 and today, the COP has provided guidance on several occasions to the GEF on the LDCF. Following guidance from the COP, the GEF develops a programming paper or guidelines explaining the procedures and processes it intends to apply in response to the COP guidance.

The programming paper contains information on the procedures to be followed for accessing resources under the LDCF. It is shared with the LDCs through the GEF implementing agencies, the operational arm of the GEF,<sup>20</sup> and through the designated national GEF focal points.

The bottlenecks encountered by LDCs when accessing resources from the LDCF often come from the flow of information between the GEF, the agencies and the countries with regard to the GEF procedures. These bottlenecks are often the result of one of the following:

- (a) The countries are not well informed about the correct procedures to follow;
- (b) The agencies and/or countries find it difficult to understand some of the GEF procedures;
- (c) There are no guidelines or programming paper to inform on ways to access LDCF funds for specific issues (e.g. there is currently no programming paper to inform LDCs on how to access funding from the LDCF to implement the remaining elements of the LDC work programme).

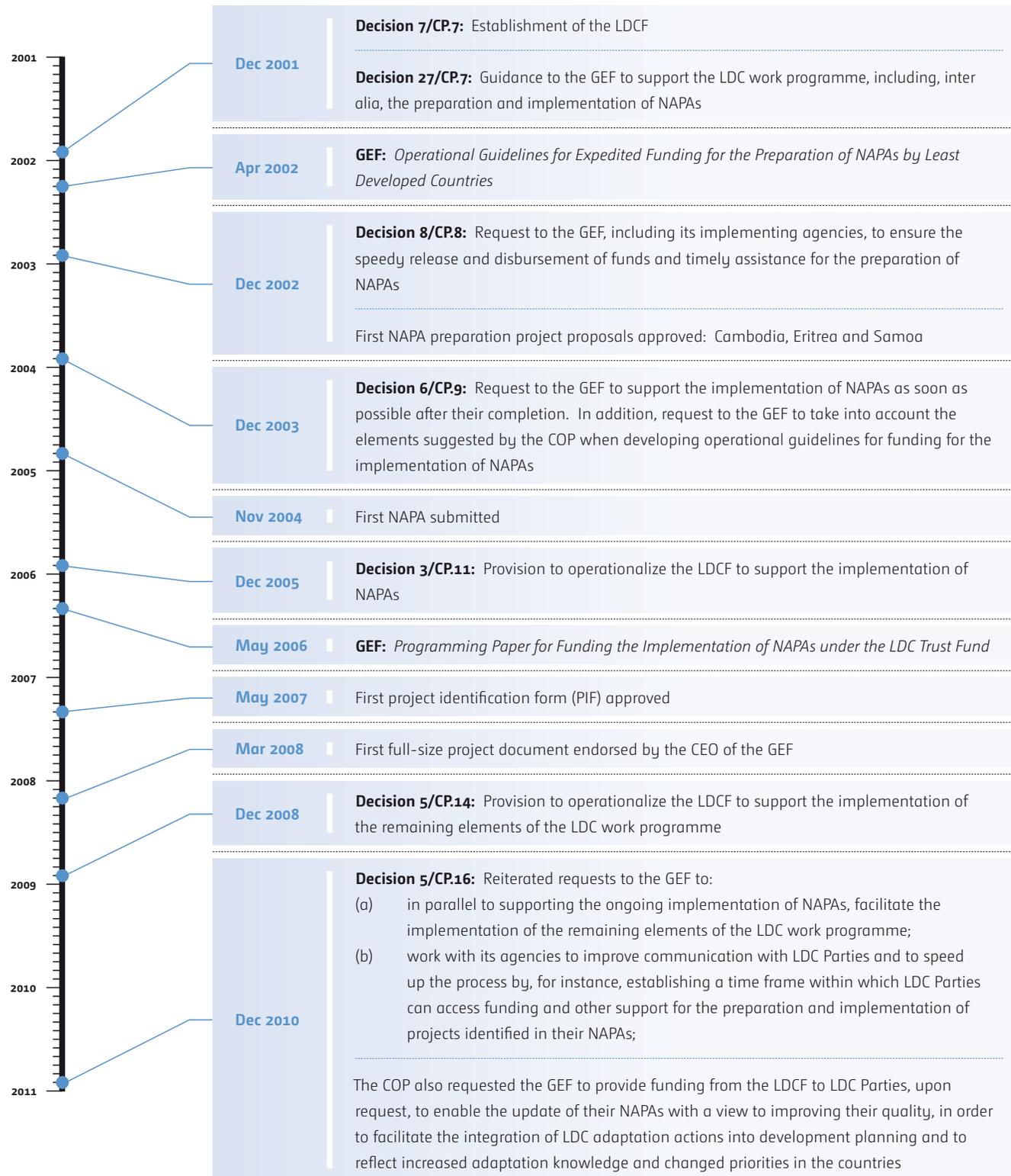
These bottlenecks can be overcome through enhanced communication between the GEF, the agencies and the countries, including through the organization of workshops, in particular those organized by the LEG, and also during side events held at the sessions of the UNFCCC.

The **FIGURE II-6** below provides a timeline of the key COP decisions on guidance to the GEF on the operation of the LDCF, the related responses from the GEF and the key milestones in the NAPA process.

<sup>19</sup> GEF. 2011. *Accessing Resources under the Least Developed Countries Fund*. Available at: [http://www.thegef.org/gef/sites/thegef.org/files/publication/23469\\_LDCF.pdf](http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf).

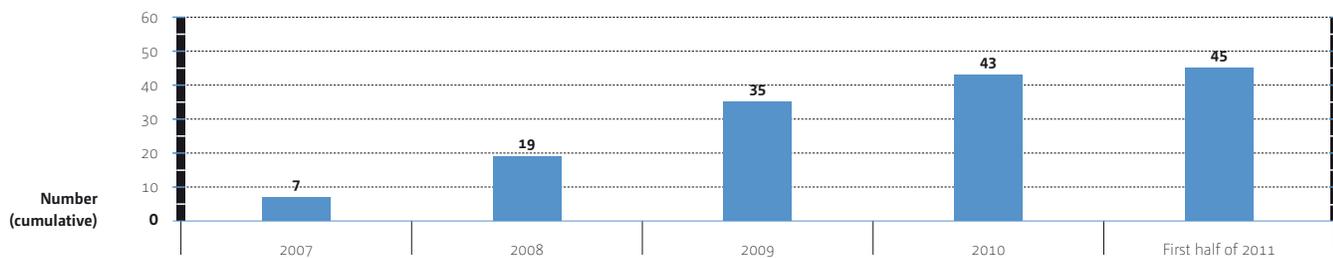
<sup>20</sup> Idem.

Figure II-6. Timeline of key COP decisions on guidance to the GEF on the operation of the LDCF and other milestones of the NAPA process



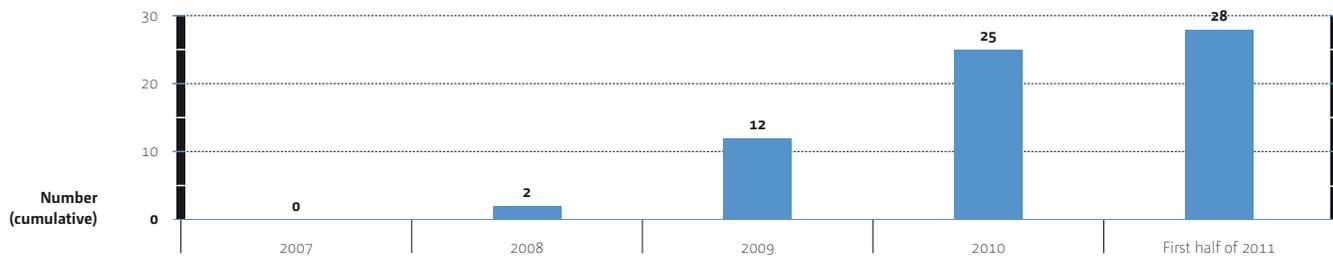
Abbreviations: NAPA = national adaptation programme of action; LDC = least developed countries; COP = Conference of the Parties; GEF = Global Environmental Facility.

Figure II-7. Graph showing the cumulative number of PIFs approved by the GEF



Abbreviations: GEF = Global Environmental Facility; PIF = Project Identification Form.

Figure II-8. Graph showing the cumulative number of NAPA projects endorsed by the CEO of the GEF



Abbreviations: GEF = Global Environmental Facility; CEO = Chief Executive officer of the GEF.

## 2.4. THE NAPA IMPLEMENTATION PROCESS

Once a NAPA has been submitted to the UNFCCC secretariat, the LDC Party can start the process of implementation under the LDCF.

The implementation process starts with the LDC Party requesting one of the GEF agencies to assist in submitting a project proposal to the GEF.<sup>21</sup> The role of the GEF agency is to assist the country in formulating a coherent project idea, based on one (or more) of the NAPA priorities, and convert this idea into the project identification form (PIF) in accordance with current LDCF templates.

The GEF agency then submits the PIF to the GEF to go through a GEF project cycle in a process that may take up to 22 months.<sup>22</sup>

The GEF cycle comprises a sequence of steps that include submission of a PIF, followed by a project preparation grant (PPG), then a full project proposal (see [FIGURE II-9 below](#)). Each of these stages is either approved by the GEF CEO and/or the GEF Council. This interactive process is supported by funds to assist the country to fully develop the project and prepare the relevant project documents for submission. The GEF agency works very closely with the country at each successive step, and ultimately supports the country in implementing the project.

[FIGURE II-11 below](#) outlines of the key steps involved in project development between the country, the GEF secretariat and the GEF agency, showing respective responsibilities.

The country can choose between any of the 9 GEF agencies working in the LDCs for the implementation of its project(s). The choice of GEF agency is based on its comparative advantage in relation to the specific issues addressed by the project being implemented.<sup>23</sup>

It is also possible to implement separate projects with separate agencies, or have two or more agencies working together on one project to utilize their expertise in specific sectors.

<sup>21</sup> See [http://www.thegef.org/gef/gef\\_agencies](http://www.thegef.org/gef/gef_agencies).

<sup>22</sup> See the GEF website at <http://www.thegef.org> for an up-to-date status of projects under the LDCF.

<sup>23</sup> GEF/C.31/5 rev.1. *Comparative Advantages of the GEF Agencies*. Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/C.31.5%20Executive%20Summary.pdf>.

The GEF implementing agencies currently working in LDCs are:

**United Nations Development Programme (UNDP)**

<http://www.undp.org/climatechange/>

**United Nations Environment Programme (UNEP)**

<http://www.unep.org/climatechange/>

**World Bank**

<http://go.worldbank.org/W13H8ZXSD1>

**African Development Bank (AFDB)**

<http://www.afdb.org>

**Asian Development Bank (ADB)**

<http://www.adb.org/Environment/default.asp>

**Inter-American Development Bank (IDB)**

<http://www.iadb.org/en/topics/climate-change/climate-change,1448.html>

**International Fund for Agricultural Development (IFAD)**

<http://www.ifad.org/climate/index.htm>

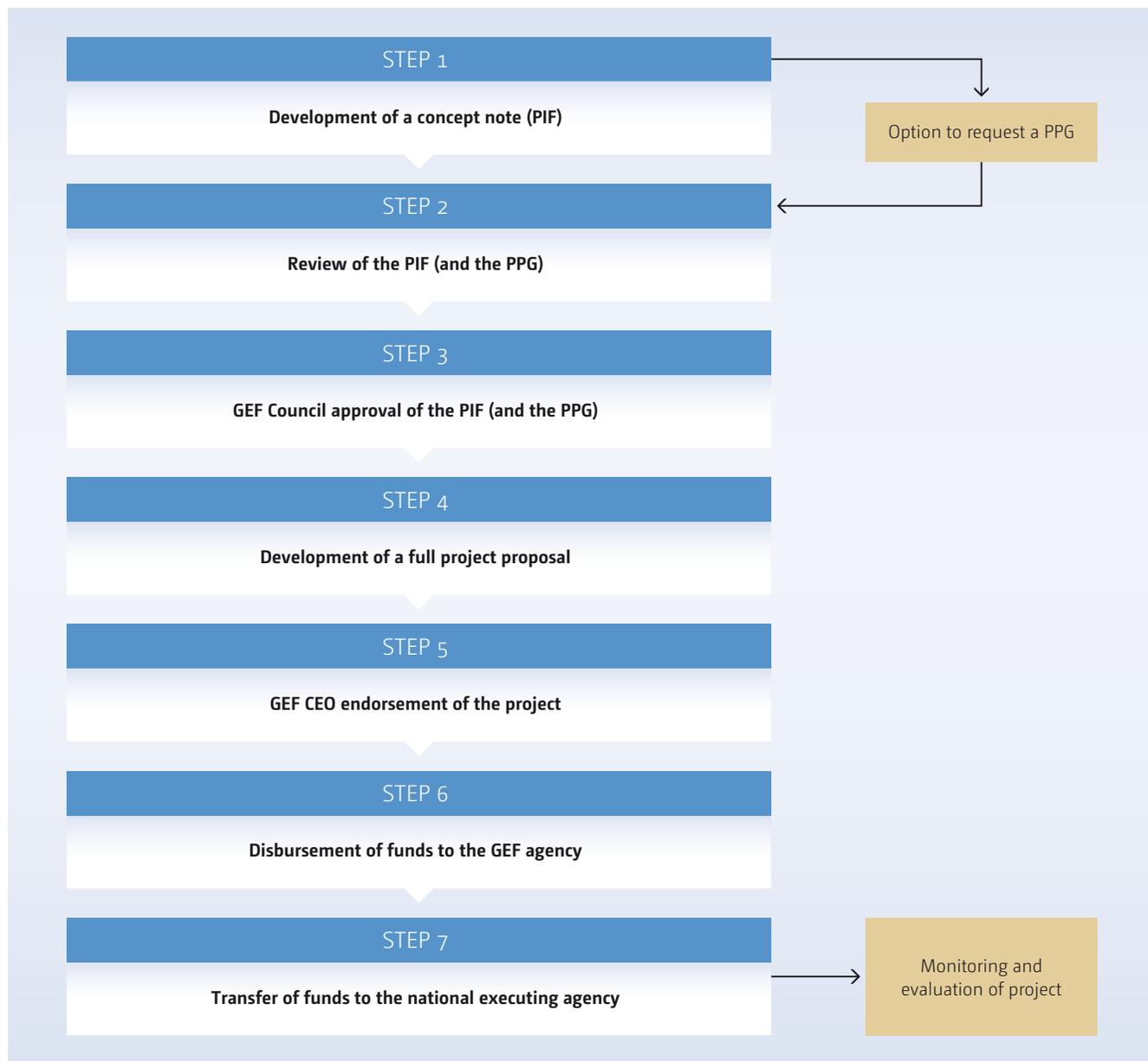
**Food and Agriculture Organization of the United Nations (FAO)**

<http://www.fao.org/climatechange/home/en/>

**United Nations Industrial Development Organization (UNIDO)**

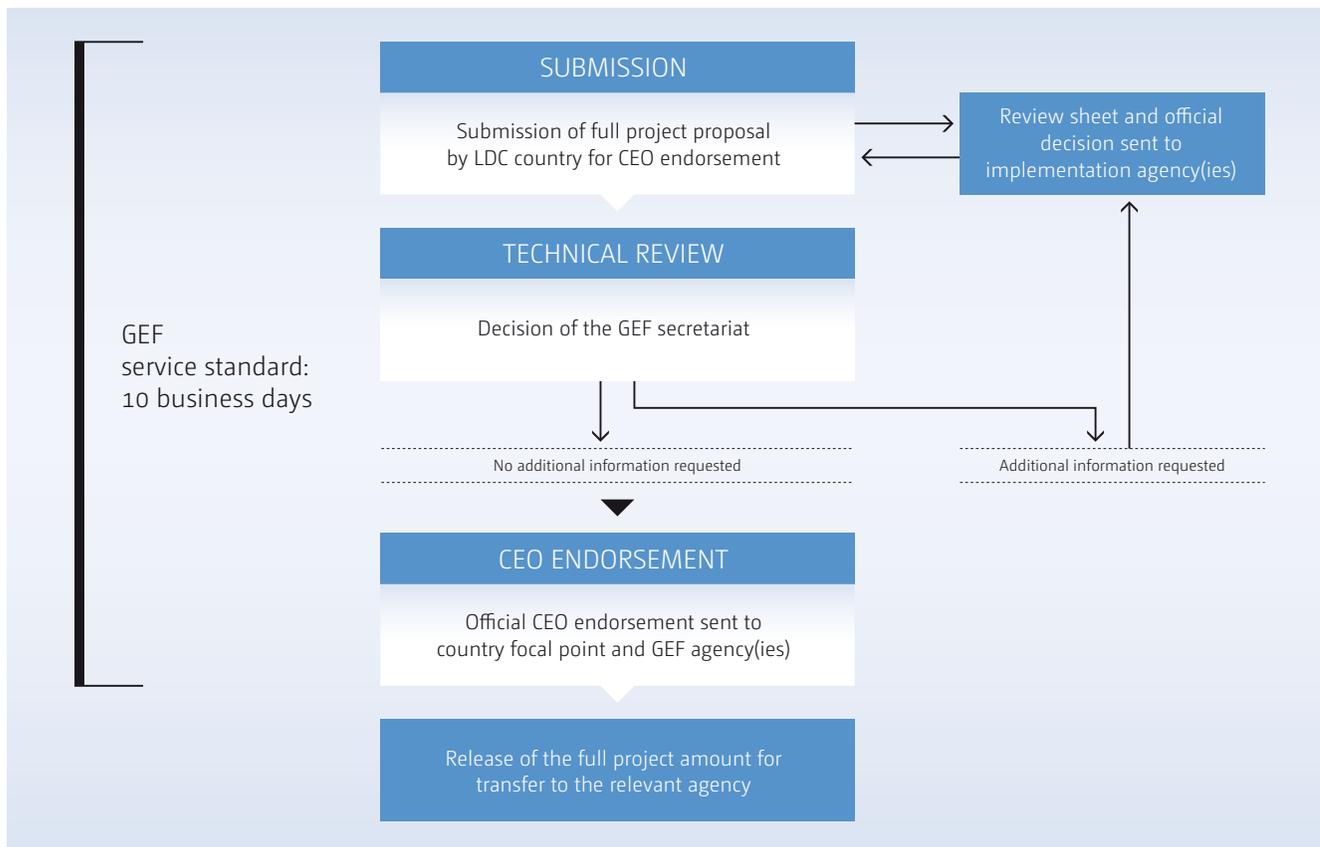
<http://www.unido.org/index.php?id=018258>

Figure II-9. Procedural steps for the processing of NAPA projects under the LDCF



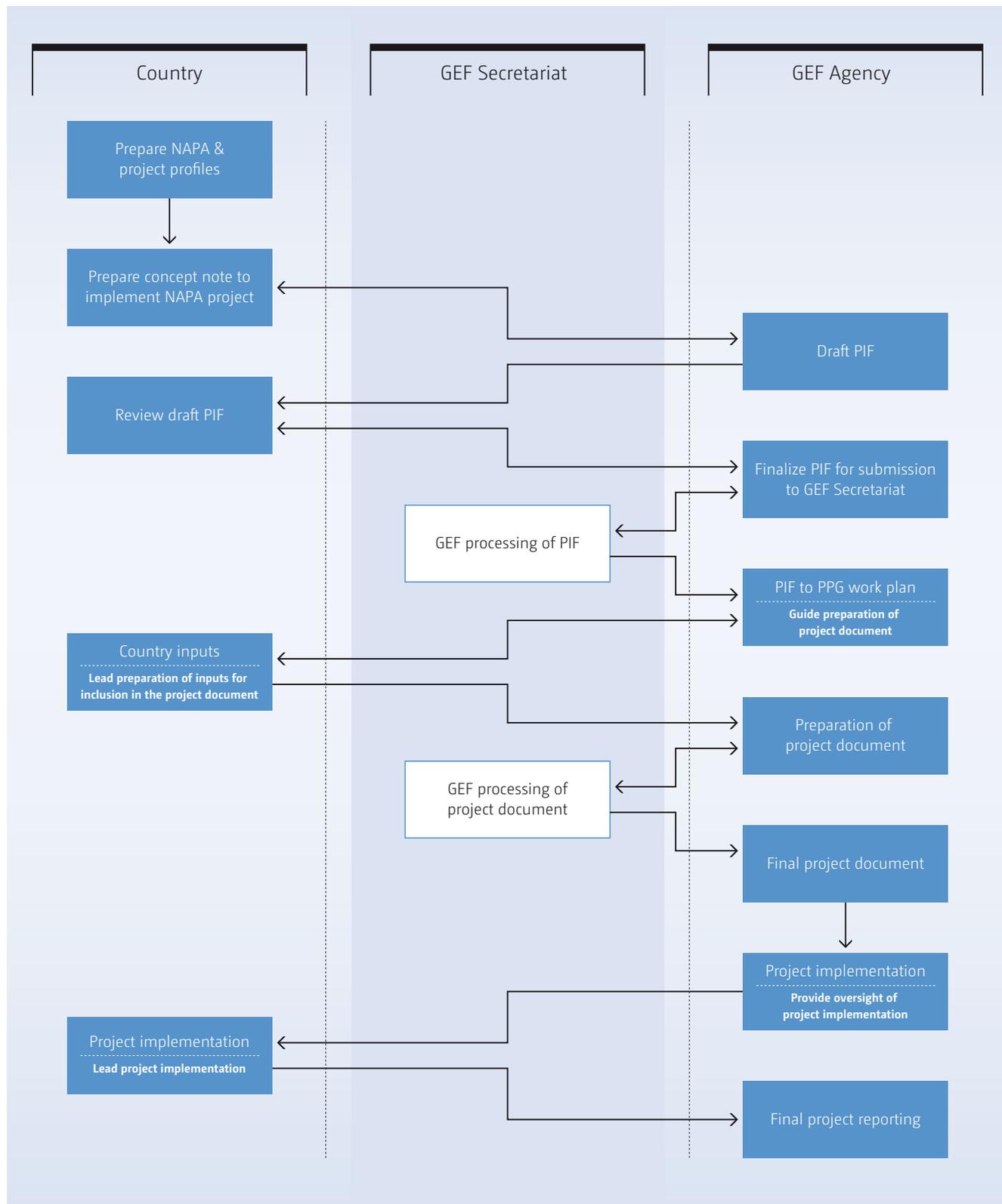
Abbreviations: GEF = Global Environmental Facility; CEO = Chief Executive officer of the GEF; PIF = Project Identification Form; PPG = Project Preparation Grant.

Figure II-10. **Flow of procedures and processing for the CEO endorsement of NAPA projects under the LDCF**  
(detailed procedures involved in steps 4–6 of figure II-9)



Sources: UNFCCC. 2009. *Step-by-Step Guide for Implementing National Adaptation Programmes of Action*.  
Abbreviations: LDC = least developed countries; GEF = Global Environmental Facility; LDCF = Least Developed Countries Fund; SCCF = Special Climate Change Fund; CEO = Chief Executive officer of the GEF.

Figure II-11. Outline of the key steps involved in project development between the country, the GEF secretariat and the GEF agency showing flow of inputs and processing



Sources: UNFCCC. 2009. *Step-by-Step Guide for Implementing National Adaptation Programmes of Action*.  
Abbreviations: LDC = least developed countries; NAPA = national adaptation programme of action; GEF = Global Environmental Facility; PIF = Project Identification Form; PPG = Project Preparation Grant.

## 2.5. REVISION AND UPDATE OF NAPAS TO RENEW RELEVANCE AND IMPROVE QUALITY

Changes in climate and hence new risks and vulnerabilities since submission of the NAPA, coupled with increasing levels of new information and knowledge, and lessons learned from projects being implemented in other countries may warrant revision of the NAPA projects and project profiles.

Such an update would include revisions to the list of priority projects, including major revisions to the project profile, such as costs. If a country elects to revise its NAPA, it is important that the revisions and updates are formally submitted to the UNFCCC secretariat so that they become part of the submitted NAPA.

In a recent technical paper,<sup>24</sup> the LEG has elaborated steps that can be used by LDC Parties to submit revisions of their NAPAs to the UNFCCC secretariat. Upon receipt, the revisions are processed and become an official part of the NAPA, which can then be used to assess eligibility for funding under the LDCF.

### Box II-1. Rationale for the revision and update of NAPAs

Given the passage of time since the first NAPAs were completed, the LEG has identified the following reasons for updating or revising a NAPA, including, inter alia:

- (a) Some of the stated priority NAPA activities may have been implemented under bilateral or other sources of funding and technical cooperation, therefore requiring a revision of the remaining priorities for which funding would be sought under the LDCF;
- (b) In cases where only brief information was provided on costs and details for implementation, an LDC Party may decide to provide revised cost information and/or additional project profile information;
- (c) In some cases, new risks and vulnerabilities may have become evident and may necessitate a revision of the ranking of the urgent and immediate priorities in the NAPA, especially in those cases where the NAPA has been completed a year or more ago;
- (d) The need to incorporate lessons learned in the implementation of NAPAs by other LDCs;
- (e) The need to address additional information requirements to satisfy new project development guidelines, such as information required under the current guidelines for project development (using the PIF versus the previous project development fund window that was being applied when some of the earlier NAPAs were prepared);
- (f) The need to provide simple revisions to the NAPA, such as details on revised costing of project activities, taking into account new information. Information that would facilitate the preparation of PIFs for implementation could also be added. Some LDC Parties may also choose to elaborate on how a major project activity would be integrated into sector-wide plans.

## 2.6. SCALING UP TO IDENTIFY AND ADDRESS MEDIUM- AND LONG-TERM ADAPTATION

The preparation of NAPAs took all factors of vulnerability (see SECTION 1.2.2. above) into account and arrived at priority adaptation needs that must be addressed in the immediate term, with an emphasis on coping and enhancing adaptive capacity and with the understanding that medium- to long-term adaptation planning would be addressed in the future.

In December 2010, Parties adopted the Cancun Adaptation Framework (CAF) at the sixteenth session of the COP, which took place in Cancun, Mexico. Parties affirmed that adaptation must be addressed with the same level of priority as mitigation. The CAF is the result of three years of negotiations on adaptation under the AWG-LCA that followed the adoption of the Bali Action Plan at the 2007 United Nations Climate Change Conference in Bali, Indonesia.

The CAF includes the establishment of a process to enable LDC Parties – building upon their experience with the NAPAs – to formulate and implement national adaptation plans (NAPs) as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs, as well as a work programme to consider approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change.

The CAF also establishes that enhanced action on adaptation to be undertaken in accordance with the Convention should follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems. In addition, the CAF should be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate.

The SBI is to elaborate modalities and guidelines for the NAPs, for adoption by the COP at its seventeenth session in December 2011, and an Adaptation Committee is also to be established in order to promote the implementation of enhanced action on adaptation in a coherent manner under the Convention. One of the Committee's functions will be to provide information and recommendations, drawing upon adaptation good practices, for consideration by the COP when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building and other ways to enable climate-resilient development and reduce vulnerability, including to the operating entities of the financial mechanism of the Convention, as appropriate.

As such, an evaluation of the experiences gained and lessons learned from the NAPA process will also be a useful tool in paving the way forward in the development of medium- and long-term adaptation plans.

<sup>24</sup> Information available at <[http://unfccc.int/resource/docs/publications/ldc\\_tp2009.pdf](http://unfccc.int/resource/docs/publications/ldc_tp2009.pdf)>.



# III. SELECTED COUNTRY EXPERIENCES WITH THE NAPA PROCESS

## 3.1. METHODOLOGY AND RATIONALE FOR COLLECTING COUNTRY EXPERIENCES WITH THE NAPA PROCESS

This chapter provides a selection of eight case studies. Information on the status of preparation and implementation of NAPAs, including information on experiences from LDC NAPA teams, was assembled through questionnaires, interviews and a desk review of country-specific documents and data, including NAPAs and LDCF project documents. A total of 24 countries were covered in the first two sets of interviews conducted in June 2010 and June 2011.

The country experiences presented here are from: Bangladesh, Bhutan, Burkina Faso, Haiti, Kiribati, Malawi, Sao Tome and Principe and Uganda. They offer an insight into the diversity of the LDCs in terms of geographical distribution (Africa, Asia, the Caribbean and the Pacific), language (anglophones, francophones and lusophones) and ecosystems (mountainous countries, SIDS, landlocked countries, subtropical regions and the Sahel).

The results from the findings are used to inform the support provided by the LEG to the LDCs. In cases where immediate actions were required, the LEG worked with the GEF and its agencies to find solutions. This approach has proved to be a good practice in itself; it has led to the quick resolution of problems and the improvement of the relationships between the NAPA teams and the GEF implementing agencies.

The LEG intends to add more country profiles to the LDC Portal on the UNFCCC website<sup>25</sup> as part of its ongoing work on capturing and communicating best practices and lessons learned.

<sup>25</sup> See <<http://www.unfccc.int/lcd>>.

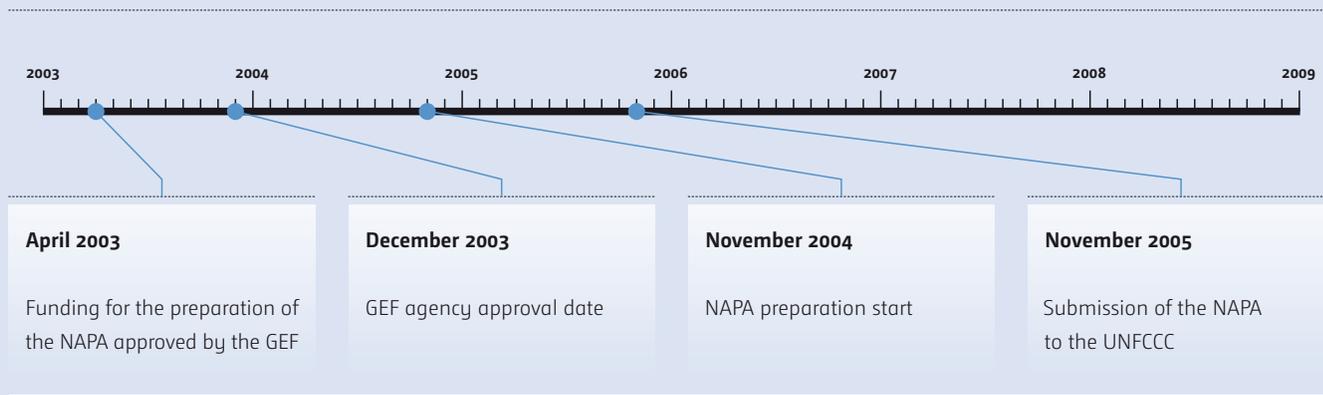


### 3.2. BANGLADESH

A mostly low-lying country located in South Asia, Bangladesh is home to one of the largest deltas in the world, formed by the dense network of the distributaries of the Ganges, the Brahmaputra and the Meghna Rivers. The most damaging effects associated with climate change in Bangladesh are floods, salinity intrusion and droughts that are found to drastically affect crop productivity almost every year. Climate change induced challenges include:

scarcity of fresh water due to less rain and higher evapo-transpiration in the dry season; drainage congestion due to higher water levels as a result of sea level rise; river bank erosion; frequent floods and prolonged and widespread drought; and wider salinity in the surface, ground and soil in the coastal zone. The agricultural sector will also face significant yield reduction, endangering food grain self-sufficiency. It was found that the population living in the coastal area is more vulnerable than the population in other areas.

#### Timeline of the NAPA preparation process in Bangladesh



#### NAPA PROJECTS UNDER IMPLEMENTATION

Bangladesh listed 15 priority activities in its NAPA, and its first project, already under implementation, is aimed at reducing the vulnerability of coastal communities to the

impacts of climate change induced risks in four upazilas (subdistricts) in the coastal districts of Barguna and Patuakhali (western region), Bhola (central region), Noakhali (central region) and Chittagong (eastern region).

<b>Project title</b>	Community-based adaptation to climate change through coastal afforestation
<b>Implementing agency</b>	UNDP
<b>National executing agency</b>	Department of Forest, Ministry of Environment and Forests (MoEF)
<b>Number of NAPA priority activities addressed</b>	1/15
<b>Cost in USD million (LDCF component/total cost)</b>	3.3/10.4
<b>First submission of the concept note (PIF) under the LDCF</b>	April 2007
<b>GEF CEO endorsement of the project</b>	December 2008

## NAPA PROCESS

**Preparation and implementation strategy.** Stakeholder consultation was an integral part of the formulation of the NAPA, and the NAPA team was composed of a multidisciplinary group of experts. Six sectoral working groups were formed to analyse the vulnerability of the natural, economic and social systems, and meetings between these working groups and different sectoral agencies, departments, project authorities and donors were held to assess possibilities of integration into sectoral policies and plans.

Due to the country specificities, while ranking the priority activities, preference was given to activities that promote the safety and security of life and livelihoods, the active participation of local communities and risk reduction from natural hazards. The final NAPA text incorporated comments and suggestions made during a national consultation workshop and contained a profile of 15 potential projects demonstrating integration into national policy frameworks and programmes.

**Institutional arrangements in the country.** Based on its experience in preparing the NAPA, Bangladesh has also taken steps to establish a national framework to address climate change issues in the country. Bangladesh set up a Climate Change Unit under the Ministry of Environment and Forests (MoEF), and developed the Bangladesh Climate Change Strategy and Action Plan (BCCSAP) in 2008, which was revised in 2009.

The Government of Bangladesh also created a Climate Change Trust Fund (CCTF) in 2009. The CCTF has approved 43 government projects for implementation, and a total of USD 70 million has been allocated to these projects. CCTF has also approved around 32 projects of non-governmental organizations (NGOs). A total of USD 3.5 million has been allocated to these projects, and a number of other government and NGO projects are in the process of being considered.

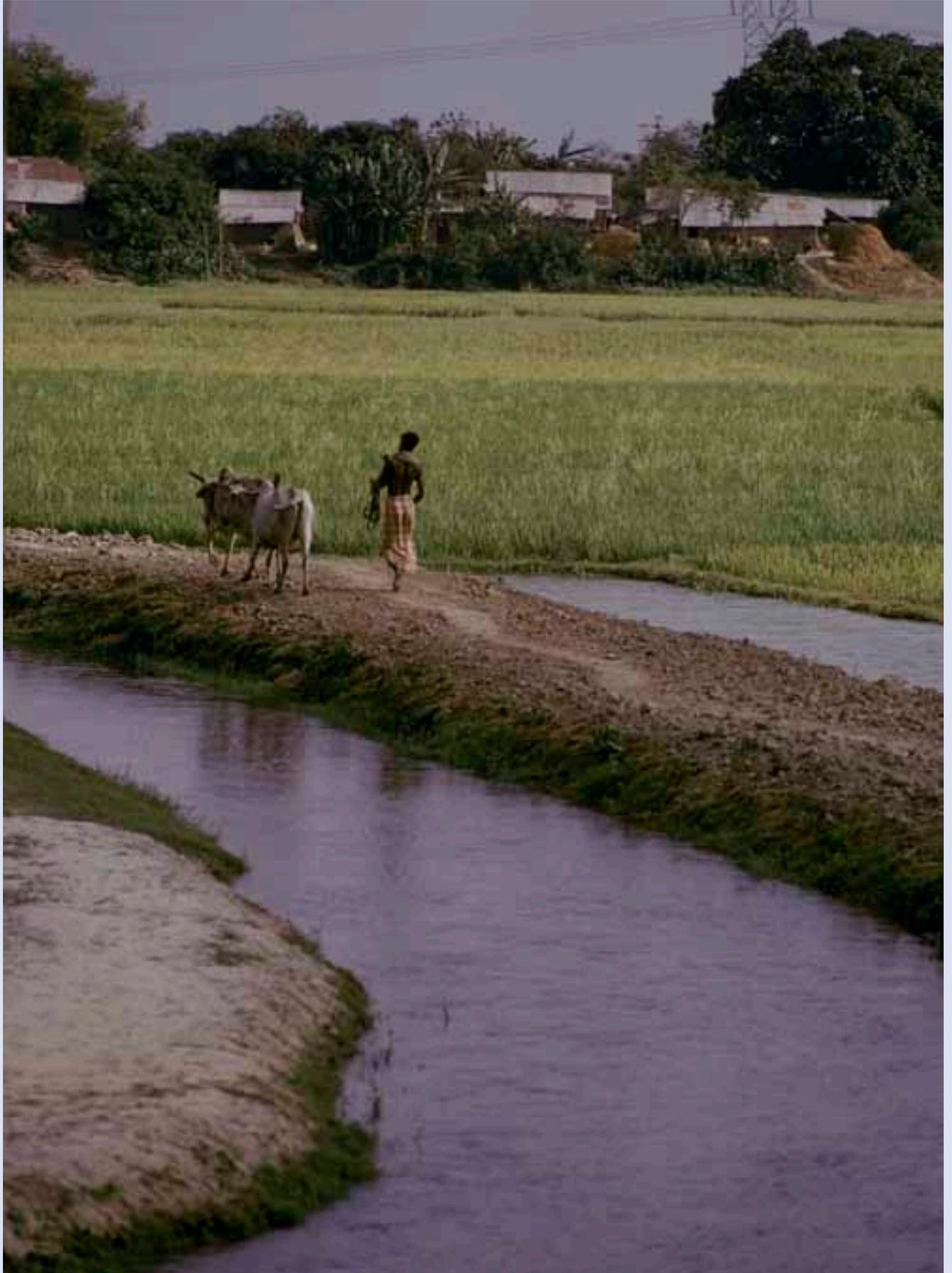
In addition to CCTF, the country has also established a Bangladesh Climate Change Resilience Fund (BCCRF) with support from development partners. BCCRF will be managed and implemented by the Government and technical assistance will be provided by the World Bank. Development partners have already pledged USD 113.5 million to this fund.

The Government of Bangladesh is also working on setting up a Multi-Donor Trust Fund (MDTF) for receiving and disbursing adaptation funds.

**Experience with project implementation.** Bangladesh has extensive experience in involving local communities in forest protection and regeneration, and its first NAPA project draws on that experience. In addition, the project will be linked with regional and national programmes, such as the UNDP/Department for International Development (DFID) Comprehensive Disaster Management Programme (CDMP) and UNDP programmes such as the Coastal and Wetland Biodiversity Management Project and the Empowerment of Coastal Fishing Communities for Livelihood Security.

**Revision and update.** Bangladesh updated its NAPA in 2009, incorporating the findings of studies on impacts and vulnerabilities, and an adaptation needs assessment carried out over the last few years. The six working groups that participated in the preparation of the original NAPA were engaged in this review. The revised NAPA has also been printed in the local language by MoEF and the Forum of Environmental Journalists of Bangladesh (FEJB).

Bangladesh's experience shows that the NAPA process can be useful for establishing institutional arrangements to address climate change issues in the country.



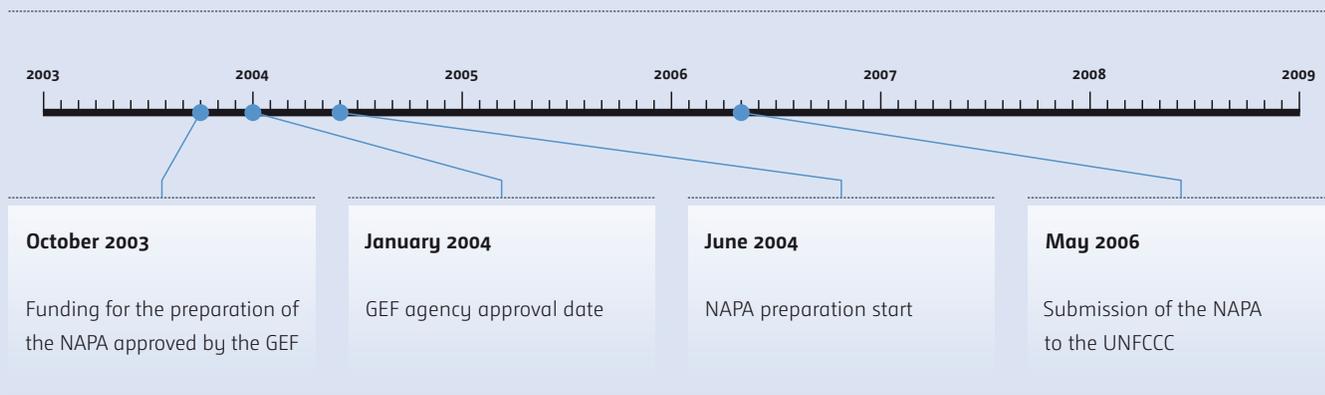


### 3.3. BHUTAN

A small developing nation located in the fragile eastern Himalayan ecosystem, Bhutan’s key sectors affected by the adverse effects of climate change include infrastructure, agriculture, forestry, water resources, energy and health. Seventy-nine per cent of Bhutan’s population, who are subsistence farmers, will be directly affected by temperature changes and unpredictable monsoon patterns,

and the infrastructure will suffer increased damage from landslides and flashfloods. As Bhutan’s economy is highly dependent on hydropower resources (which constitute over 12 per cent of the country’s GDP), the potential impacts on this sector are equally alarming. The most significant impact, however, is the rapid melting of glaciers, which will not only affect the base flow of the rivers but will also dramatically increase the risk of GLOFs.

#### Timeline of the NAPA preparation process in Bhutan



#### NAPA PROJECTS UNDER IMPLEMENTATION

Bhutan’s NAPA outlined nine priority activities which are almost all location-specific. Due to the urgent need to address potential GLOFs, a project aimed at reducing these risks was given priority, and it was the first to be submitted for implementation under the LDCF. Three priority activities were selected as the project components:

- (1) Artificially lowering the water level in Thorthormi Lake;
- (2) Increasing the capacity for disaster risk management in affected valleys;
- (3) Installing a technical early warning system for GLOFs

<b>Project title</b>	Reducing climate-change induced risks and vulnerabilities from glacial lake outbursts in the Punhakha-Wangdi and Chamkhar Valleys
<b>Implementing agency</b>	UNDP
<b>Number of NAPA priority activities addressed</b>	3/9
<b>Cost in USD million (LDCF component/total cost)</b>	3.445/6.931
<b>First submission of the concept note (PIF) under the LDCF</b>	August 2007
<b>GEF CEO endorsement of the project</b>	March 2008
<b>Update on progress</b>	Implementation on the ground has started and is well advanced

## NAPA PROCESS

**Preparation and implementation strategy.** Though awareness on climate change was relatively low at the beginning of the NAPA preparation process, Bhutan counted on good stakeholder participation throughout the process and also positive working relations among the different stakeholders, including the GEF agency (UNDP). A taskforce composed of members from different development sectors was put together to assess the country's vulnerabilities to climate change and key adaptation strategies to address them.

In addition to the taskforce meetings, Bhutan's NAPA team also held several meetings with donors and the GEF agency to discuss and help define the adaptation priorities and key vulnerability aspects to be addressed in the country. The existence of a clearly urgent risk posed by climate change in the country – the GLOFs – made it easier to define the first project to be submitted under the LDCF and to allocate the funds once they were made available.

**Institutional arrangements in the country.** The NAPA was conceived within the framework of the Royal Government of Bhutan's sustainable development Five-Year Plan (FYP). Bhutan's National Environment Commission (NEC) is responsible for guiding and coordinating the executing/implementing sector agencies (ministries) and will, from time to time, monitor the 'climate change adaptation' components within the projects to ensure that key NAPA objectives are not being ignored.

**Experience with project implementation.** Challenges included the need for outside assistance to develop the reasoning for the additional cost of adaptation for the project, and delays caused by a change of templates for submitting projects by the GEF. Further, given the urgent nature of the problem to be addressed, it was considered that the overall time it took from the initial development of the project concept to the first disbursement for actual implementation (three years) was longer than necessary.

However, a good working relationship with the agency has facilitated progress, and the fact that the Government is familiar with UNDP's country framework ensured that expectations were correctly managed between each partner in the implementation of the first project. Regular interaction between the national team and the GEF at UNFCCC sessions allowed the country to keep informed of progress in the consideration of its projects.

The implementation of the project is now at an advanced stage. Due to difficult access to the site, the workers at the Thorthormi lake have to manually excavate a channel to lower the lake level. Some of the hired workers employed during the brief working season in the summer are women from the local community (see photo on page 34).

**Project highlights.** GLOFs are very specific to mountainous areas (the Hindu Kush-Himalayan region alone has nearly 8,800 glacial lakes, 203 of which were identified as potentially dangerous) and, therefore, this project has good potential for replication both within the country and in other countries in the region facing the same problem. Pakistan, for instance, is using Bhutan's experience for the development of similar projects under the AF.<sup>26</sup> In Bhutan, 24 other glacial lakes were identified as being at high risk of GLOFs.

**Revision and update.** Since some sectors involved felt that they did not engage effectively in the NAPA process during the preparation phase, due to a low level of awareness and knowledge, they welcomed the idea of revising and updating the NAPA as a positive step to ensure that urgent and immediate adaptation needs from their respective areas would be adequately reflected in the NAPA. Bhutan's NAPA specifies that it will be periodically reviewed after actual implementation of the first priority projects within the context of the Government's FYP cycle.

<sup>26</sup> Further information is available at <<http://adaptation-fund.org/node/1366>>.

Bhutan's experience shows that when the potential impacts of climate change are clear and the expected outcomes of a project are tangible, the rationale for the project is easy to articulate. Bhutan's project is also a good example of the replication of a project approach to similar conditions and impacts within a region.



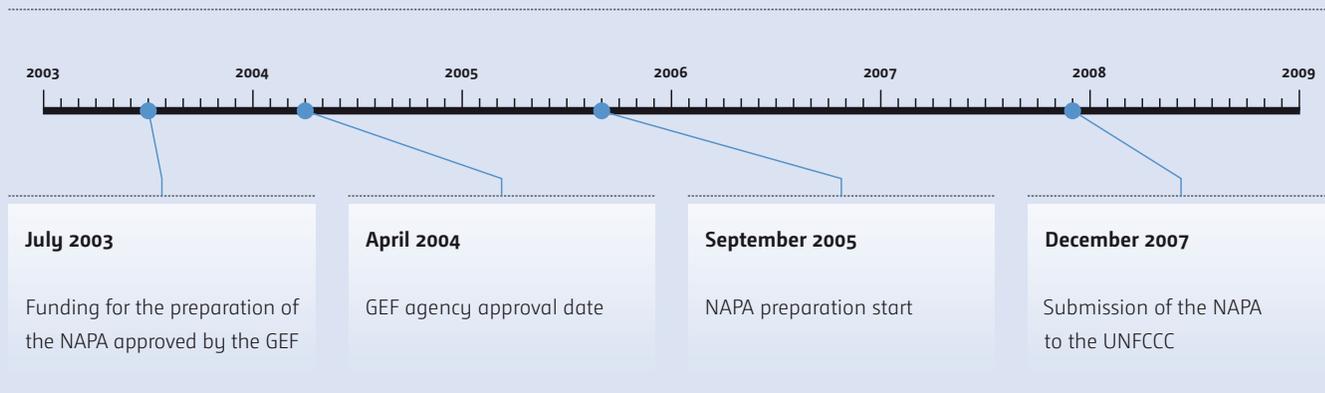


### 3.4. BURKINA FASO

A landlocked country in sub-Saharan Africa essentially reliant on agriculture, Burkina Faso has been considerably affected by the adverse impacts of climate change over the last 20 years. The country has experienced severe rain decrease caused by climate change, which in turn has

resulted in a decrease in water resources and a severe degradation of and decrease in pasture land. Thus, four key sectors were identified as being the most vulnerable to climate change: agriculture, water resources, livestock and forests/biodiversity. The most vulnerable populations are to be found among poor rural communities, notably women, young people and small-scale farmers.

#### Timeline of the NAPA preparation process in Burkina Faso



#### NAPA PROJECTS UNDER IMPLEMENTATION

Burkina Faso selected 12 priority activities and, in order to address a number of issues in its first project, the country decided to adopt a concerted programmatic approach involving three components, one of which was financed through the LDCF, with the other two adaptation initiatives financed by other entities. Following this approach, the programme is composed of the following three components:

- Strengthening of national capacities: funded by the Danish International Development Agency (DANIDA) and the International Union for Conservation of Nature (IUCN);

- Strategic planning: funded by UNDP/Government of Japan;
- Six climate change adaptation pilot projects: funded by the LDCF.

The component funded by the LDCF is of a short-term nature and addresses immediate and urgent needs, while the other two components focus on medium-term adaptation needs. Each of the six pilot projects of the LDCF component corresponds to a village or group of villages and a project director is appointed to each project. As implementation progresses in the six villages, the lessons learned and best practices will be captured in order to be used in the planning of future adaptation projects.

Project title	Strengthening adaptation capacities and reducing the vulnerability to climate change in Burkina Faso
Implementing agency	UNDP
Number of NAPA priority activities addressed	4/12 (of which 2 only partially)
Cost in USD million (LDCF component/total cost)	3.300/23.445
First submission of the concept note (PIF) under the LDCF	April 2008
GEF CEO endorsement of the project	April 2009

## NAPA PROCESS

**Preparation and implementation strategy.** For the vulnerability assessment, the NAPA team identified the most vulnerable regions in the country and selected three geographical zones in which to conduct work, each with its specificities: the first relies heavily on livestock, the second on agriculture and the third on water resources. In each zone a couple of villages have been selected as pilot projects and an expert specialized in the dominant livelihood (agriculture, livestock or water resources) has been appointed to each one in order to lead further assessment work.

A LEG workshop on NAPA preparation conducted in the country in 2003 was considered particularly useful, not only due to the guidelines provided but also because many relevant stakeholders involved in the NAPA were able to benefit from the expertise and advice of the workshop facilitators and other participants from francophone LDCs.

With regard to the implementation strategy, Burkina Faso has integrated the first priority activities of its NAPA into a programmatic approach endorsed by bilateral donors.

**Institutional arrangements in the country.** The Rio Conference in 1992 (the United Nations Conference on Environment and Development (UNCED)) was Burkina Faso's first introduction to the issue of climate change. It presented a great opportunity for the country to understand the types of synergies that could be created at country level to ensure sound environmental sustainability. Soon after the Rio Conference, a national observatory was created in Burkina Faso and in 2006 institutional arrangements led to the establishment of a common institutional framework in charge of implementing the three Rio Conventions (on climate, biodiversity and desertification) and the Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar Convention) in the country.

As a result of Burkina Faso's long-established institutional arrangements, members of the NAPA steering committee were already working together well before the NAPA process started. The steering committee is composed of all focal points of the Rio Conventions together with officers from various ministries including line ministries, such as the Ministry of Planning and Finance, some NGOs and representatives of local communities. International donors are regularly invited to the meetings as observers.

**Experience with project implementation.** Because relevant stakeholders have been actively involved in the process from the initial stages of the NAPA preparation phase is considered to have greatly facilitated implementation. The implementation strategy adopted by the NAPA team allowed for an almost seamless processing into the implementation of the first project. The NAPA team also understood the procedure to access the LDCF and had extensive previous experience in handling project proposals for other GEF-funded projects, which allowed for a better comprehension of all steps involved in the process.

As UNDP manages most of the other technical and financial partnerships on environmental issues and, in particular, the two other programme components, a good working relationship between the agency and the country team was ensured. This also facilitated the implementation of the programmatic approach, even though only one component was funded through the LDCF.

By regularly inviting donors to the NAPA steering committee meetings, Burkina Faso ensured support for co-financing from the same donors that support the other Rio Conventions. One of the outcomes of the concerted approach taken by Burkina Faso regarding the management of the three Rio Conventions is the mobilization of national resources for NAPA implementation. As part of the co-financing for the third component of the programme, the Government of Burkina Faso made a contribution of 450 million CFA francs.

Burkina Faso's future objectives are to intensify adaptation activities in the pilot villages and, in light of the success achieved thus far in those villages, some donors have also suggested the replication of best practices in other villages. The NAPA technical team currently includes a person responsible for training the regional teams (local authorities, regional services, parishes, etc.) and the team is planning to hire a specialist in monitoring and evaluation.

**Project highlights.** Burkina Faso's choice of a programmatic approach not only addresses urgent and immediate needs through an identified set of adaptation priorities but also allows for the development of medium- and long-term adaptation strategies.

**Revision and update.** Burkina Faso is in the process of revising its NAPA to make it more comprehensive; this work will be carried out within the second component of its NAPA on strategic planning. The revised NAPA will look at mid- and long-term adaptation needs and, in parallel, the country is aiming to undertake a feasibility study in the health sector.

Burkina Faso's experience shows that well-established institutional arrangements to deal with climate change issues in the country can greatly facilitate NAPA preparation and implementation and foster early strategic thinking for the consideration of medium- and long-term adaptation options.



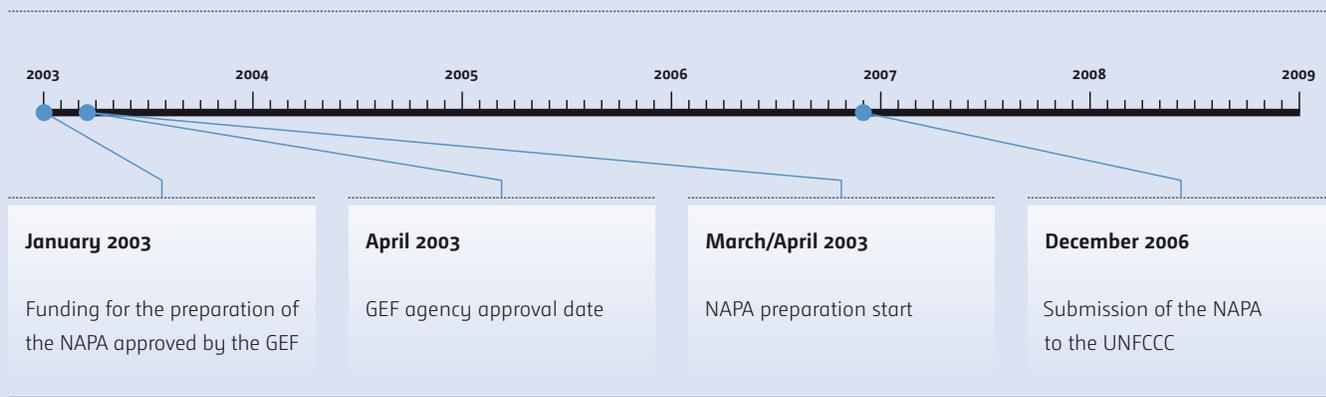


### 3.5. HAITI

Located on the western side of the Hispaniola Island – which it shares with the Dominican Republic – Haiti is a mostly mountainous country. The country has lost most of its forest cover and is thus prone to erosion processes. It has also been increasingly affected by natural disasters such as hurricanes and tropical storms and also by floods and droughts, the impacts of which are aggravated by

unsound urbanization practices, the use of natural resources and waste management. The population, two thirds of which depend on the agricultural sector, is highly vulnerable to climate variations. Haiti is still recovering from its most severe earthquake in 200 years, which hit the country in January 2010. The most vulnerable sectors to climate change are: agriculture and land degradation; coastal zones; and water management.

#### Timeline of the NAPA preparation process in Haiti



#### NAPA PROJECTS UNDER IMPLEMENTATION

Haiti defined eight priority activities. A project addressing the adaptive capacities of coastal communities was developed as Haiti’s first project under the LDCF. This project consists of four components:

- (1) Systemic, institutional and individual capacity development;
- (2) A sustainable financial framework for Climate Risk Management (CRM) in coastal areas;
- (3) Piloting of on-the-ground coastal adaptation measures;
- (4) Knowledge management, codification of best practices and dissemination.

<b>Project title</b>	Strengthening adaptive capacities to address climate change threats on sustainable development strategies for coastal communities in Haiti
<b>Implementing agency</b>	UNDP
<b>National executing agency</b>	Ministry of Environment
<b>Cost in USD million (LDCF component/total cost)</b>	3.960/11.060

In addition, a second project aimed at reducing disaster risk in agriculture to improve food security was developed in February 2010. The intention was to grant expeditious processing following the January 2010 earthquake. The

latest information available seems to indicate that this project is finally following the normal LDCF project cycle after the PIF was resubmitted in February 2011.

<b>Project title</b>	Strengthening climate resilience and reducing disaster risk in agriculture to improve food security in Haiti post-earthquake
<b>Implementing agency</b>	FAO
<b>National executing agency</b>	Ministry of Agriculture
<b>Cost in USD million (LDCF component/total cost)</b>	2.999/8.230
<b>First submission of the concept note (PIF) under the LDCF</b>	February 2010
<b>Re-submission of the concept note (PIF) under the LDCF</b>	February 2011
<b>GEF CEO endorsement of the project</b>	Not CEO endorsed yet

#### NAPA PROCESS

**Preparation and implementation strategy.** The NAPA preparation process took place in an unstable political context and, due to increased security threats, public consultations were difficult to organize. Despite this difficult context, the NAPA team carried out the consultations and succeeded in organizing all of them, but this resulted in a longer NAPA preparation time frame than initially expected.

Consultation with communities and local authorities was considered a very important step, as this provided complementary and additional information, as well as an opportunity to discover which adaptation measures the communities had already adopted. The NAPA team also worked in cooperation with the national communication team to share information on the country's vulnerabilities to climate change, which made for consistent reporting.

**Institutional arrangements in the country.** Soon after preparing the NAPA, Haiti experienced many institutional changes, which resulted in the activities of the NAPA team being interrupted between 2006 and 2008. Today, Haiti's objective is for all ministries to fully integrate climate change issues into their respective sectoral national plans.

**Experience with project implementation.** As the NAPA was moving from the preparation phase to the implementation phase, UNEP – which had helped the NAPA team to prepare the document – was replaced by UNDP. To facilitate the working relationship with UNDP, a platform was created to share technical information, but the national team felt that the agency could have shared more information on finance, particularly on strategies to

mobilize co-financing partners. The NAPA team also thought that the procedures for CEO endorsement of the full project proposal were lengthy, as the process took almost two and a half years (August 2008 – December 2011).

Similarly, since the second project was initially developed and processed in an expeditious manner on account of the impact of the earthquake, the GEF agency (FAO) took the lead in elaborating the document and, as a result, the national team felt excluded from the process. A lack of meeting spaces, owing to the fact that a number of government buildings had been damaged, may have hampered communication even further. For both projects, the GEF agencies coordinated all financial issues, including the mobilization of LDCF resources and other sources of funding as part of co-financing.

**Revision and update.** Haiti did not initially consider revising or updating its NAPA, but after a string of natural disasters (one hurricane in 2007, three in 2008 and a major earthquake in 2010), a lot of information and data are no longer considered accurate. It is now felt that a revision/update of the NAPA could provide an opportunity to re-assess the country's priorities regarding its adaptation to the most adverse effects of climate change and, as such, the process would be supported by the institutional framework which was established for the preparation of the NAPA. However, Haiti would consider revising and updating its NAPA only if it is an expedited process that does not take more than six to eight months to complete and does not impede progress in implementing NAPA projects that are currently underway.

Haiti's experience shows that continuous engagement of the NAPA team during the design of the implementation phase is critical to avoid any delays in implementation and nurture the capacity that has been built during the preparation phase.



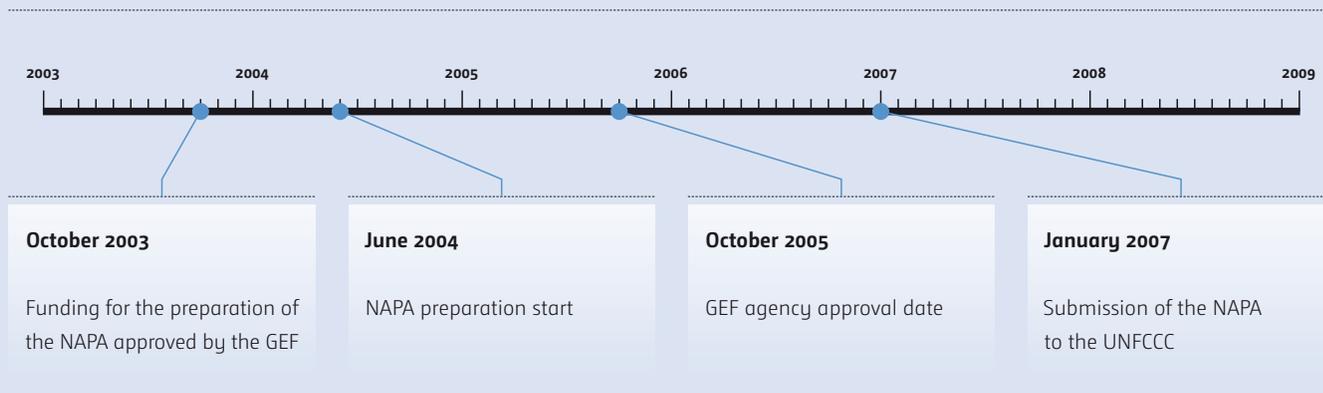


### 3.6. KIRIBATI

Kiribati is located in the central Pacific region and is comprised of 33 atolls with approximately 800 km<sup>2</sup> of land area. The maximum height found on any of the atolls is 4 m, which makes the country vulnerable to sea level increases, saltwater intrusion and floods. The vulnerability and adaptation studies carried out in the country showed that the largest impact of climate change would be loss of coastal infrastructures due to inundation.

Moreover, bleaching of coral reefs would result in loss of fish production. The combined effects of coastal erosion due to sea level rise, precipitation changes and higher temperatures would result in considerable reduction of the thickness of water lenses. Climate change would be likely to increase the epidemic potential of dengue fever and the incidence of tropical diseases. Sea level rise would also affect agriculture due to saltwater intrusion and loss of coastal land, thereby reducing land available for agriculture.

#### Timeline of the NAPA preparation process in Kiribati



#### NAPA PROJECTS UNDER IMPLEMENTATION

Kiribati's NAPA outlined 10 priority activities. The first project submitted to the LDCF is aimed at strengthening the resilience of Kiribati to the impact of climate

variability, climate change and climate-related hazards by reducing the impact of storm surges and coastal erosion on the quality and availability of freshwater resources and the livelihoods of coastal communities.

<b>Project title</b>	Increasing resilience to climate variability and hazards
<b>Implementing agency</b>	World Bank (International Bank for Reconstruction and Development (IBRD))
<b>Number of NAPA priority activities addressed</b>	5/10
<b>Cost in USD million (LDCF component/total cost)</b>	3.300/6.600
<b>First submission of the concept note (PIF) under the LDCF</b>	August 2009
<b>GEF CEO endorsement of the project</b>	Not CEO endorsed yet
<b>Update on progress</b>	The project concept note has already been approved by the GEF Council

## NAPA PROCESS

**Preparation and implementation strategy.** The Climate Change Study Team (CCST) was involved in the preparation of the NAPA. Their mandate included overseeing the implementation of the UNFCCC and providing technical guidance. During the preparation of the NAPA, the team undertook a thorough consultation with the local population of all the inhabited islands. A wide range of stakeholders representing all layers of the population were consulted including: NGOs, the private sector, registered religious groups, an association of elderly men (according to indigenous customs), representatives of women groups, youth representatives and local government representatives. This created a high level of awareness across all stakeholders. The NAPA preparation process was completed with the help of UNDP and an excellent relationship existed between UNDP and the NAPA team. The NAPA team also received support and technical assistance from the LEG when the expert group came to Kiribati for a LEG meeting. In addition, the team sent their draft NAPA to the LEG, which provided comments prior to finalization of the document.

Due to its increasing vulnerability to climate change, a vulnerability and adaptation (V&A) assessment was undertaken with the help of the GEF prior to the NAPA preparation process. Significant focus during the preparation process was given to matching the results of the V&A and identifying the priority projects. However, the project profiles derived during the prioritization stage of the NAPA stakeholder consultations and the outcomes of the V&A were slightly different. As a result, there is neither a clear implementation strategy nor a clear understanding of the stakeholders' role in pursuing support for the projects formulated under the NAPA process.

Shortly before the start of the NAPA preparation process, another adaptation programme was developed under the name Kiribati Adaptation Programme (KAP), which is funded by the GEF and co-financed by AusAID. The KAP is not linked to the NAPA – its objective is to mainstream adaptation into national economic planning and it therefore focuses on long-term planning for adaptation.

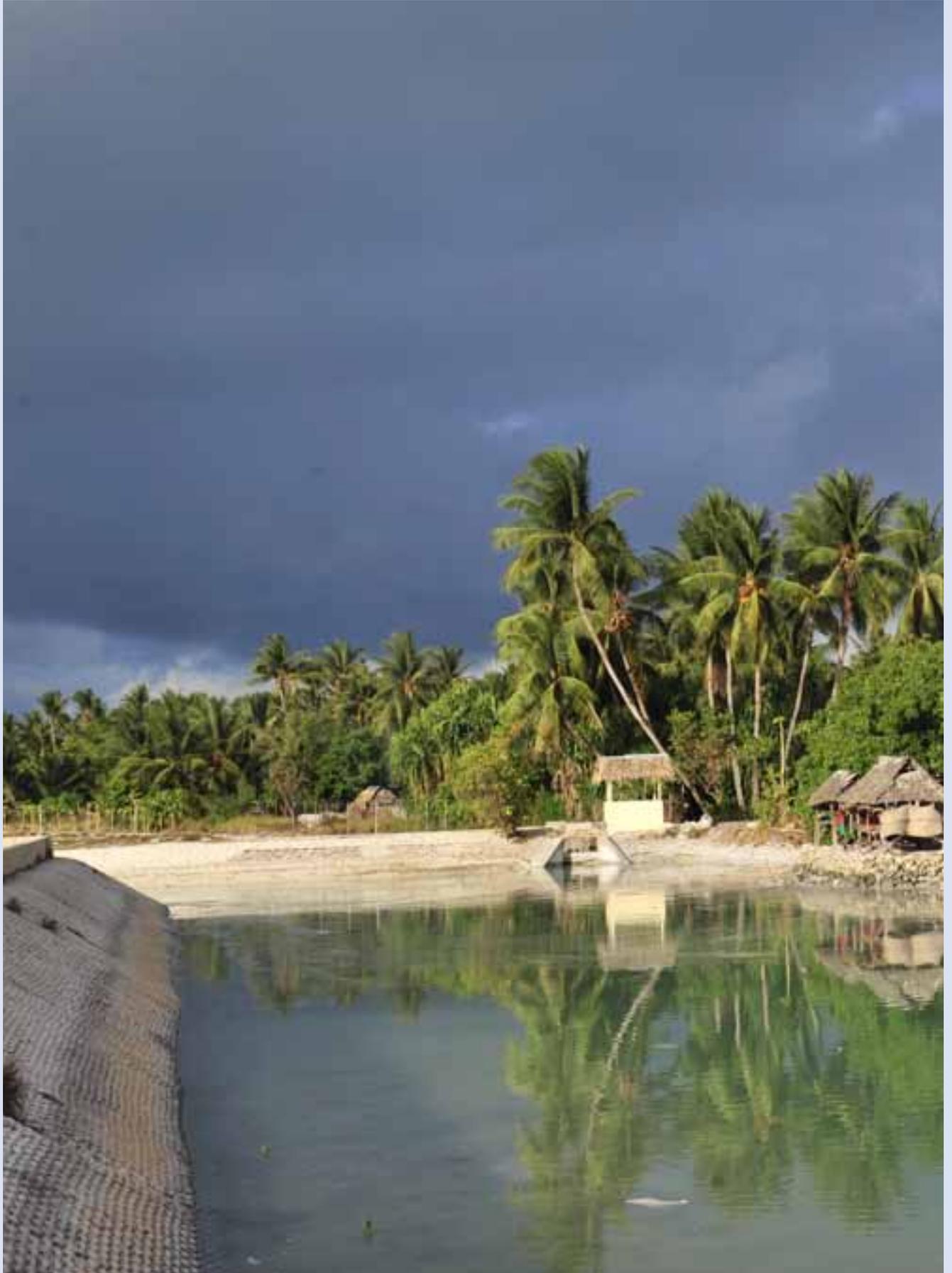
**Institutional arrangements in the country.** Adaptation activities are managed within the framework created by the country's National Development Strategy. The Kiribati Government has also approved a Climate Change Adaptation Policy and Strategy.

**Experience with project implementation.** Kiribati's NAPA is implemented concurrently with the Kiribati Adaptation Project (KAP I), which includes pilot projects on a number of islands. A new programme was launched during the fourth replenishment of the GEF Trust Fund.

The World Bank is the agency responsible for assisting Kiribati with the implementation phase of the LDCF project. A PIF was submitted to the GEF, but the document was sent back to the World Bank with a request for further information. The World Bank wanted to merge the NAPA and the KAP projects, but the Government of Kiribati believes that since KAP had already started when the NAPA process began, the projects should not be merged and the NAPA projects should be formulated so as to avoid repetition. The Government of Kiribati also believes that although these two projects have different objectives (KAP addresses long-term planning adaptation and the NAPA addresses immediate and urgent adaptation needs) they must complement one another and be coordinated during their implementation phase.

**Revision and update.** Kiribati is interested in revising its NAPA. Although the team does not foresee any major changes over time in the country's selection and ranking of priority adaptation activities, the interest in the revision of Kiribati's NAPA lies in the potential for scaling-up adaptation activities.

Kiribati's experience shows that multi-stakeholder consultations during the NAPA preparation process can significantly help identify nationwide adaptation needs.



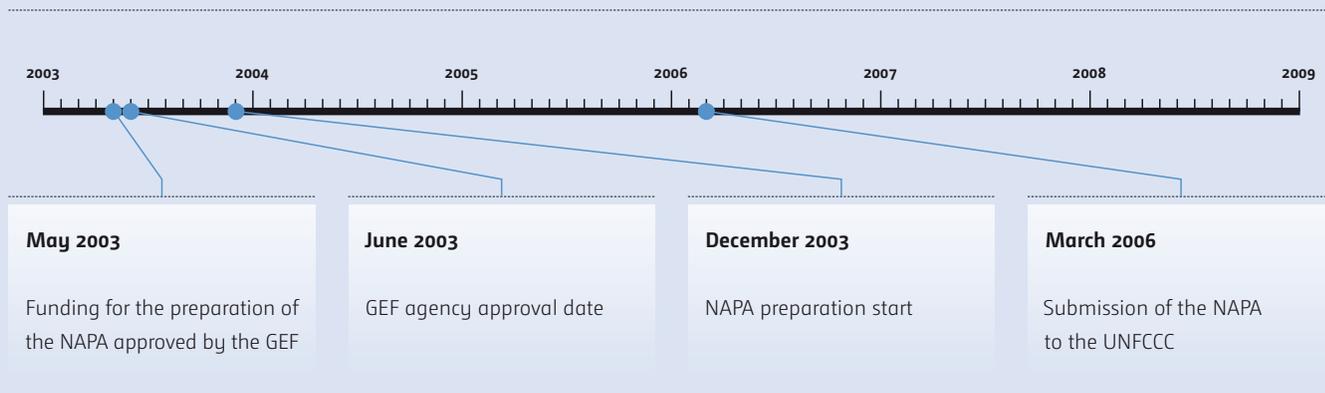


### 3.7. MALAWI

A landlocked country located in south-east Africa, Malawi has abundant natural resources, including good soils and abundant water, wildlife, fisheries and forests, but the dependence of the population on these resources makes them highly vulnerable to climate variability and change. More than 90 per cent of the people of Malawi, mainly resource-poor rural communities, are predominantly engaged in subsistence rain-fed agriculture. Malawi has

suffered from a number of adverse climatic hazards events over the last several decades, the most serious of which have been dry spells, seasonal droughts, intense rainfall, riverine floods and flash floods. Some of these, especially droughts and floods, have increased in frequency, intensity and magnitude over the last two decades and have adversely impacted on food and water security, water quality, energy and the sustainable livelihoods of rural and peri-urban resource-poor communities.

#### Timeline of the NAPA preparation process in Malawi



#### NAPA PROJECTS UNDER IMPLEMENTATION

Malawi listed 15 priority activities in its NAPA, which were then clustered into five project profiles. Due to the importance of agriculture in the country, the first project submitted under the LDCF is aimed at improving resilience

to current climate variability and future climate change by developing and implementing adaptation strategies and measures that will improve agriculture production and rural livelihoods. The project is supporting six communities across Malawi.

<b>Project title</b>	Climate adaptation for rural livelihoods and agriculture (CARLA)
<b>Implementing agency</b>	African Development Bank
<b>Number of NAPA priority activities addressed</b>	Environmental Affairs Department (EAD) in the Ministry of Mines, Natural Resources and Environment; Department of Irrigation (DoI) in the Ministry of Irrigation and Water Development (MIWD)
<b>Cost in USD million (LDCF component/total cost)</b>	3.255/27.649 (co-financing = 24.394)
<b>First submission of the concept note (PIF) under the LDCF</b>	April 2007
<b>GEF CEO endorsement of the project</b>	October 2010
<b>Update on progress</b>	Implementation on the ground has not yet started

## NAPA PROCESS

**Preparation and implementation strategy.** Malawi's NAPA was developed throughout 2004 and 2005, based on a multi-stakeholder approach and with the assistance of UNDP. Eight important economic sectors were analysed (agriculture, water, human health, energy, fisheries, wildlife, forestry and gender) with regard to the impacts of adverse climatic conditions, and 15 priority activities were identified out of 31 adaptation options through a consultative process involving public and private sector organizations, including media, NGOs and civil society. Emphasis was given to vulnerable rural communities of Malawi.

The LDCF project was designed so as to build on baseline activities planned under the existing Smallholder Crop Production and Marketing Project (SCPMP) of the African Development Bank (AfDB), which is aimed at contributing to poverty reduction and food security in rural Malawi. SCPMP comprises three components: irrigation development; a farmers' support programme; and project management and coordination.

Although SCPMP will indirectly contribute to reducing the country's overall vulnerability to current climate variability and climate change, it is not designed to address the urgent and immediate adaptation challenges faced by the country. As such, the aim of the LDCF project was to climate-proof SCPMP by implementing adaptation interventions and fostering the adaptation of individuals, communities and the private sector, on the one hand, and by creating an enabling environment for climate risk management to maximize the positive impacts of investments, sustain their impacts in the long term, and lay the foundation for the replication of best practices beyond the direct project activities, on the other.

The Government of Malawi views the NAPA as a national planning document and, as such, the information provided is used in other national initiatives, such as UNDP's work on sustainable land management, the Green Belt Initiative developed by the Government, research work in tertiary academic institutions and civil society activities.

**Institutional arrangements in the country.** The country has established a National Climate Change Committee and is currently developing a Climate Investment Plan, which prioritizes the development of an adaptation programme.

**Experience with project implementation.** The Government of Malawi started working with AfDB on the development of an adaptation project based on two of its NAPA priority activities soon after submission of the document, in 2006. Although Malawi had not had any previous experience in working with AfDB on a GEF project, the Government selected AfDB to implement the project based on its expertise in projects related to adaptation to climate change in the agricultural sector in other countries. The project received GEF CEO endorsement in October 2010 after several delays related to the agency. Project implementation has not yet started because AfDB is reviewing the project internally to ensure its alignment with the Bank's work plan. The project had already suffered delays from the change in template for project submission by the GEF from a project development facility (PDF) to a PIF/PPG; the whole process from project development to actual implementation has taken over four years.

Attempts to switch to another GEF agency were unsuccessful, as it is not possible to simply continue the same project with a different agency. GEF procedures require a project to be cancelled and then the whole process has to be restarted (endorsement of a new agency, development of a concept note, a PIF/PPG, etc.) with the new agency, effectively resetting the clock on the project. This process is necessary given the financial agreements for project implementation.

Malawi is implementing additional adaptation activities in the vulnerable areas identified by the NAPA through the Africa Adaptation Programme (AAP), a UNDP programme financed by the Government of Japan, to complement the CARLA project. UNDP is also currently working with the Government of Malawi to develop an LDCF programme focusing on adaptation and land degradation.

**Revision and update.** Malawi has already initiated a revision of its NAPA to integrate emerging issues.

Malawi's experience shows how some of the constraints imposed by changing procedures or rigid procedures for accessing resources can result in major delays in the implementation of a project on the ground.



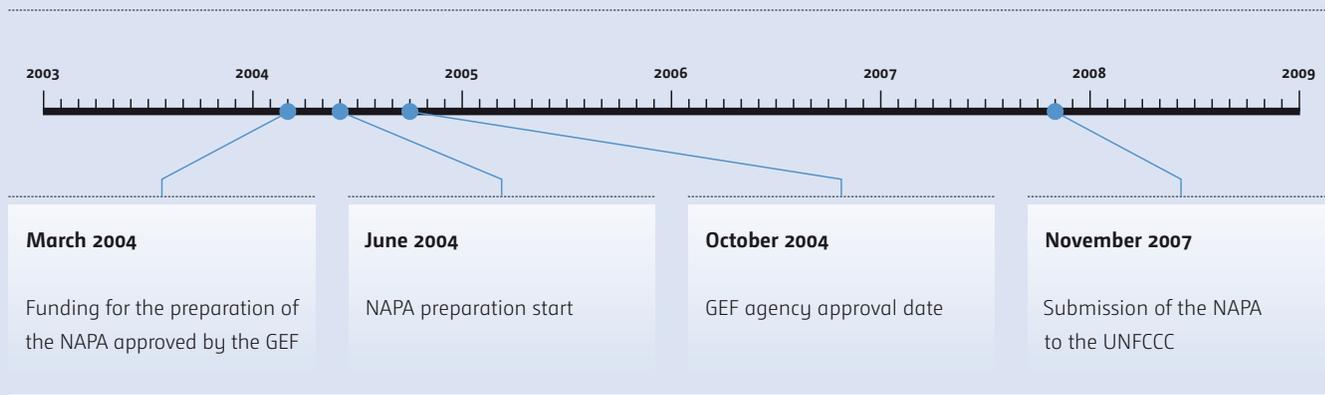


### 3.8. SAO TOME AND PRINCIPE

The archipelago of Sao Tome and Principe is located off the western coast of Guinea and is comprised of two main islands and four islets. The country's economy revolves mostly around agriculture and fishing, sectors which are highly vulnerable to climate change. Sao Tome and Principe is considered very vulnerable to climate change, with a low capacity to absorb and adapt to ecosystem disturbances. Fisheries seem to be more greatly affected

due to the use of traditional practices that are often unable to cope with the recurrence of storms and floods and extensive coastal erosion. The fishing industry is considered very important in Sao Tome and Principe, as artisanal fisheries are estimated to employ 20 per cent of the nation's workforce and represent one of the main employment opportunities in rural areas. The agricultural and forestry sectors are also vulnerable to harsher environmental conditions such as drought, soil erosion leading to desertification and flood-induced landfalls.

#### Timeline of the NAPA preparation process in Sao Tome and Principe



#### NAPA PROJECTS UNDER IMPLEMENTATION

Sao Tome and Principe listed 22 priority activities in its NAPA, and two projects have already been submitted under the LDCF. The first project, as shown below, is aimed at increasing the adaptive capacity of vulnerable coastal communities to the adverse impacts of climate variability and change.

Adaptation to Climate Change Programme, which prioritizes three major areas:

- Land-based Adaptation in Vulnerable Areas: to be funded by UNDP/Japan Adaptation Programme;
- Coastal Adaptation for Vulnerable Communities: to be funded by the LDCF;
- Strengthened Adaptation Capacity: to be funded by UNDP/Japan Adaptation Programme.

The first Sao Tome and Principe project under the LDCF is designed as an integral part of the country's National

<b>Project title</b>	Sao Tome and Principe: adaptation to climate change
<b>Implementing agency</b>	World Bank (IBRD)
<b>National executing agency</b>	Ministry of Natural Resources, Energy and Environment
<b>Number of NAPA priority activities addressed</b>	6/22
<b>Cost in USD million (LDCF component/total cost)</b>	4.873/18.332
<b>First submission of the concept note (PIF) under the LDCF</b>	May 2009
<b>GEF CEO endorsement of the project</b>	May 2011
<b>Update on progress</b>	The project concept note has already been approved by the GEF Council

The second project is aimed at improving the resilience of the livestock systems in support of the productivity of stockbreeding.

<b>Project title</b>	Strengthening the adaptive capacity of most vulnerable Sao Tomean's livestock-keeping households
<b>Implementing agency</b>	AfDB
<b>National executing agency</b>	Directorate of Animal Husbandry
<b>Cost in USD million (LDCF component/total cost)</b>	2.320/10.087
<b>First submission of the concept note (PIF) under the LDCF</b>	June 2010
<b>GEF CEO endorsement of the project</b>	Not CEO endorsed yet
<b>Update on progress</b>	The PPG has already been approved by the GEF

#### NAPA PROCESS

**Preparation and implementation strategy.** Community participation played a key role in the methodology and characterization of the main vulnerabilities listed in the Sao Tome and Principe NAPA. Public consultations (interviews and surveys) were carried out throughout the country with the poorer populations residing in vulnerable areas. Six sectors were analysed to assess the main vulnerabilities: agriculture, forests and livestock; fisheries; public works, infrastructure and tourism; energy and water; health; and public safety and civil protection. Adequate solutions were then found in a participatory manner through interaction with the communities and based on the six above-mentioned sectors. Information from the country's existing plans such as its first national communication to the UNFCCC, from 2004, the Poverty Reduction Strategy Paper and documents related to the other Rio Conventions (on desertification and biodiversity) were also reviewed for the NAPA.

With the aim of implementing the top priorities identified in the NAPA, the Government of Sao Tome and Principe requested the World Bank's assistance in preparing a project through the LDCF to address the most immediate adaptation needs in its vulnerable coastal zone; more specifically, the top two NAPA priorities and three additional associated sectoral priorities listed in Sao Tome and Principe's NAPA.

**Institutional arrangements in the country.** The General Directorate of Environment (GDE) within the Ministry of Public Works and Natural Resources (MPWNR) is the overall agency responsible for the National Adaptation Programme. To monitor and coordinate project activities with other projects under this programme, MPWNR/GDE will rely on existing intersectoral mechanisms: at the highest level, the National Sustainable Development Committee chaired by ministers will formally oversee programme implementation.

**Experience with project implementation.** Both the project components funded by UNDP/Japan Adaptation Programme and the one funded under the LDCF are expected to share the same Programme Implementation Unit to ensure maximum harmonization, capitalize on existing synergies, minimize costs, ensure cross-sector coordination and build institutional capacity.

The LDCF project component targets the priority activities related to training and equipment for artisanal fishermen, and an early warning climate alert system and links them to the reinforcement of capacity of civil protection agencies, in order to strengthen Sao Tome and Principe's preparedness against extreme weather events.

Sao Tome and Principe's experience shows that focusing on the most affected development-related sectors is a good way to link the NAPA activities to national development plans.

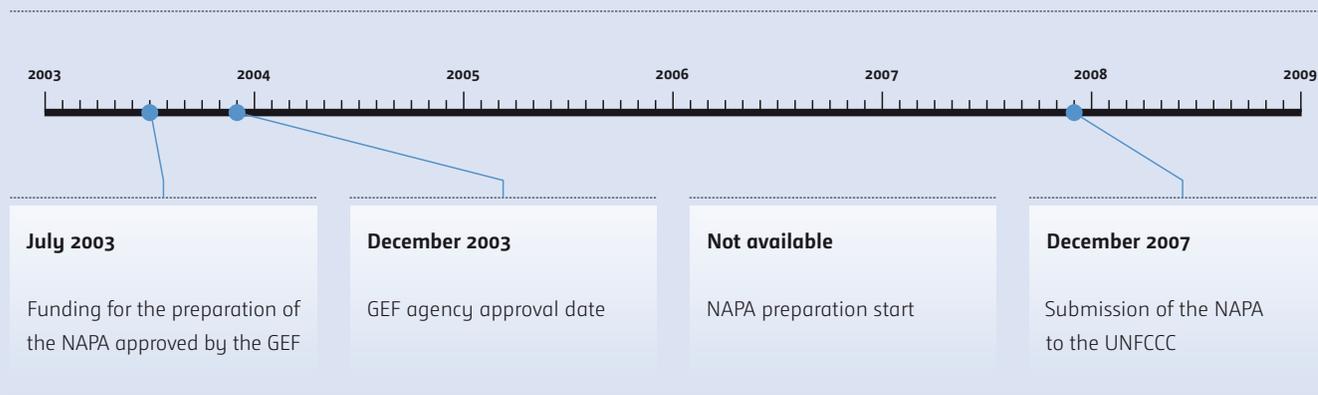


### 3.9. UGANDA

A landlocked country located in Eastern Africa, Uganda has substantial natural resources, including fertile soils, regular rainfall, and sizeable mineral deposits of copper, cobalt, gold and other minerals. Over 80 per cent of the population is rural and depends on rain-fed agriculture, which is vulnerable to the adverse impacts of climate change. The climate of Uganda is not only a natural

resource, but a key determinant of the status of other natural resources, such as water resources, forest, agriculture, ecotourism and wildlife. Climate change, which has started manifesting itself through increased frequency of extreme weather events, such as droughts, floods and landslides, is posing a serious threat to Uganda's natural resources and to its social and economic development.

#### Timeline of the NAPA preparation process in Uganda



#### NAPA PROJECTS UNDER IMPLEMENTATION

Uganda identified nine priority activities in its NAPA from the following sectors: forestry, agriculture, water resources, health, and weather and climate information.

Uganda intends to implement these priority activities through the adoption of a programmatic approach.

Project title	Resilient communities through healthy ecosystems programme: a comprehensive approach to NAPA implementation – Phase 1
Implementing agency	UNEP
National executing agency	Ministry of Water and Environment with sectoral partners and NGOs
Cost in USD million (LDCF component/total cost)	6.000/13.100 (co-financing = 7.100)
First submission of the concept note (PIF) under the LDCF	July 2010
GEF CEO endorsement of the project	-
Update on progress	PIF still pending approval by the GEF

## NAPA PROCESS

**Preparation and implementation strategy.** The NAPA preparation process was guided by two considerations: the need for Uganda to achieve the United Nations Millennium Development Goals as well as the country's development objectives as enshrined in the Poverty Eradication Action Plan (2004). Of particular concern were commitments addressing the eradication of extreme poverty and hunger, ensuring environmental sustainability and gender equity and combating major diseases. The NAPA team drew extensively on information provided by vulnerable communities, in particular their knowledge of coping mechanisms. The full participation of women in the process was ensured through focused questionnaires, interviews and discussions with women groups.

Uganda is grouping all nine NAPA priorities under an umbrella programme. The proposed NAPA programme is focusing on rural community activities. The PIF is still under consideration by the GEF.

The PIF template being used is the one for single projects, although the proposed work is being presented as a programme. It is unclear how the template for the GEF programme framework document could be used to access resources from the LDCF.

**Institutional arrangements in the country.** In 2008, the country established a national Climate Change Unit under the Ministry of Water and Environment with the financial support of the Government of Denmark. The Climate Change Unit is currently developing a climate investment plan, within which an adaptation programme takes priority. A Cabinet decision is being put in place to transform the Unit into a public institution, in which case the staff will be employed and paid by the Government of Uganda.

**Experience with project implementation.** Uganda is awaiting GEF approval of the PIF of its NAPA programme to make further progress in the project implementation phase. The Government intends to collaborate with established civil society organizations working at the community level in selected areas to ensure that the limited resources available are used for the direct benefit of communities and that overlaps are kept to a minimum.

**Revision and update.** Uganda is not considering the revision and update of its NAPA in the near future but could envision its NAPA evolving to include medium- and long-term adaptation needs.

Uganda's experience shows how the establishment of a climate change institutional framework provides a national drive for developing a cross-sectoral NAPA programme. Such a framework also facilitates interactions on climate change issues between the government and other stakeholders, including local authorities, civil society and vulnerable communities.



### 3.10. SUMMARY OF OTHER ISSUES IDENTIFIED IN THE REMAINING COUNTRY EXPERIENCES

Congo, Equatorial Guinea, Ethiopia, Madagascar, Myanmar, Rwanda, Senegal, Sierra Leone, Solomon Islands, Sudan, Timor-Leste and Zambia.

In addition to the above country experiences, 16 others have also been assembled from: Angola, Benin, Cambodia, Central African Republic, Democratic Republic of the

The [TABLE II-1 below](#) provides a summary of the issues raised in the remaining country experiences.

Table II-1. Summary of issues raised in the case studies of other LDCs

Topics	Issues
Overall NAPA process	In many LDCs, particularly in the Pacific region, NAPAs have become a strategic document used to inform donors and relevant stakeholders on adaptation needs. In addition, for several countries, the NAPA provided the first opportunity to conduct a variety of national climate change related studies.
	The NAPA process has highlighted the importance for the NAPA team to develop a good communication strategy in order to raise awareness on climate change issues but also to avoid excessively raising the expectations of decision makers and communities, thereby generating disappointment.
Institutional arrangements at the national level	The experience gained from the NAPA process was used in some countries to establish a national climate change framework. In others, where such framework was already in place, there tends to be strong ownership of the NAPA projects and fewer bottlenecks are encountered.
Implementation of the NAPA	For effective implementation of the NAPA, the projects need to have at least one of the following two features: <ul style="list-style-type: none"> <li>– strong national ownership;</li> <li>– strong alignment with national sectoral plans.</li> </ul>
	In some countries, the first NAPA project under implementation is being used as a pilot project from which lessons will be drawn to inform ways of implementing the remainder of the NAPA.
	An existing and well-functioning decentralized system provides a good framework for the implementation of the NAPA at the local level.
	The development of a strategy for full implementation of the NAPA is linked to: <ul style="list-style-type: none"> <li>– The timely availability of guidelines;</li> <li>– The level of funding available.</li> </ul>
Accessing resources from the LDCF and other sources	The level of funding in the LDCF has influenced the approach chosen by countries to start implementation of their NAPA. With a lower level of funding at the start of implementation in 2007–2008, most countries adopted a single project approach and did not consider the programmatic approach.
	To overcome the language barrier when accessing LDCF resources, some countries include the cost for translation in their budget estimate. They then submit their project proposals to the LDCF in French and arrange for them to be translated into English for submission to the GEF.
	Most LDCs felt that to enable an expeditious implementation process, the GEF should formalize communication lines with LDC Parties and convey, through official channels, information such as the level of funding available, new expedited procedures, the status of projects in the LDCF pipeline and the reasons for any delays.
	A country is currently working on the development of a national financial mechanism with the support of UNDP to mobilize international funding for the implementation of NAPA projects and other adaptation activities.

Table II-1. Summary of issues raised in the case studies of other LDCs (continued)

Topics	Issues
Relationship with the GEF and its implementing agency	<p>Implementing agencies need to separate the work on NAPAs from their other portfolio work to provide efficient assistance to countries.</p> <p>Wherever possible, implementing agencies should promote the hiring of national experts who have a better understanding than international experts of the needs and issues faced by LDCs.</p>
Scaling up to identify and address medium- and long-term adaptation	<p>A country is in the process of revising its NAPA to go beyond urgent and immediate adaptation needs and include medium- and long-term adaptation planning and considerations regarding the establishment of a low carbon economy. In addition, six other LDCs view the revision and update of their NAPA as an opportunity to identify medium- and long-term adaptation needs and develop medium- and long-term adaptation activities.</p>
Support from the LEG	<p>Some suggestions were made to enhance the LEG <i>Annotated Guidelines for the Preparation of National Adaptation Programmes of Action</i>. The new version could include :</p> <ul style="list-style-type: none"> <li>– Provision of tools and models for the ranking of projects supported by capacity-building through, inter alia, training workshops;</li> <li>– Provision of additional information on ways to identify adaptation interventions versus regular development activities.</li> </ul>



## IV. BEST PRACTICES AND LESSONS LEARNED, AND IMPLICATIONS FOR FUTURE ADAPTATION PLANNING

### 4.1. METHODOLOGY FOR CAPTURING BEST PRACTICES AND LESSONS LEARNED

This section identifies lessons learned and best practices with a view to developing options for enhanced implementation of the LDC work programme and in particular the NAPA, and to inform future adaptation planning in LDCs and other developing countries.

The approach used follows from the past presentation of lessons learned in other programmes. Lessons are presented in publications, more often than not, to demonstrate an engagement and contribution to knowledge. The LEG believes that, to be useful, lessons must be presented and communicated effectively to their intended audience. The approach that is being proposed by the LEG builds on a framework of lessons from evaluation, developed by the Evaluation and Oversight Unit of UNEP.<sup>27</sup>

The LEG is guided by two definitions of lessons learned:<sup>28</sup>

*“A lesson learned is knowledge or understanding gained by experience. The experience may be positive, as in a successful test or mission, or negative, as in a mishap or failure...A lesson must be significant in that it has a real or assumed impact on operations; valid in that it is factually and technically correct; and applicable in that it identifies a specific design, process or decision that reduces or eliminates the potential for failures and mishaps, or reinforces a positive result (Secchi, 1999 in Weber 2001).”*

The second definition, based on the Organisation for Economic Co-operation and Development-Disaster Assistance Committee (OECD-DAC), defines lessons learned as *“Generalizations based on evaluation experiences with projects, programmes, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.”*

The goal is to frame lessons, based on experience, in a manner that will facilitate use in future areas and applications, and will actively facilitate learning from experience in order to avoid repeating past mistakes or reinventing the wheel. According to UNEP, a high-quality lesson must:

- Concisely capture the context from which it is derived;
- Be applicable in a different context (generic), have a clear ‘application domain’ and identify target users;
- Suggest a prescription and should guide action.<sup>29</sup>

The lessons learned and best practices below are an initial selection by the LEG. The LEG intends to publish additional cases through the LDC Portal on the UNFCCC website as more LDCs are interviewed and profiled.

### 4.2. SELECTED BEST PRACTICES AND LESSONS LEARNED

#### 4.2.1. NAPAS ARE WIDELY VIEWED AS A SUCCESS STORY

One of the most notable features of the support provided to LDCs under the UNFCCC process was the packaging of priorities for support into the LDC work programme in 2001. Furthermore, decisions were adopted to define the guidelines for the preparation of NAPAs, and an expert group (the LEG) was created to provide technical support to LDCs in the preparation of their NAPAs. In addition, the LDCF was created to provide a funding source to support the LDC work programme.

In 2001, given the unpredictability of the level of funding in the LDCF and before addressing other elements of the LDC work programme, priority was given to the preparation of NAPAs. In 2005, further prioritization took place after some NAPAs had been prepared, in order to support the implementation of those NAPAs.

<sup>27</sup> Spilsbury MJ, Perch C, Norgbey S, Rauniyar G and Battagliano C (eds.). 2007. *Lessons Learned from Evaluation: A Platform for Sharing Knowledge* Nairobi: Evaluation and Oversight Unit, UNEP.

<sup>28</sup> Report referred to in footnote 27 above, p. 4.

<sup>29</sup> idem

The preparation of NAPAs has provided valuable experience to the climate change process. In many LDCs, this was the first opportunity to undertake various climate change related studies and to align adaptation projects with national development priorities. Furthermore, the participatory approach and consultations conducted during the NAPA preparation process were a key mechanism for interaction with vulnerable communities and allowed for a better understanding of vulnerability issues related to climate change and development.

The NAPA preparation process also improved the level of awareness and capacity at the national and community levels; this increased capacity has benefited other processes, including the preparation of national communications, and the awareness of the importance of climate change has been raised at the policymaking level.

In many LDCs, the NAPA has become a strategic document that is used not only to raise awareness but also to mobilize resources at the national and international levels on adaptation issues. The LDCs view the NAPA process as a tangible outcome of the UNFCCC process that directly benefits their country and, for many, it forms the cornerstone of their climate change activities at the national level.

Most LDCs under the Convention have completed their NAPAs (as of September 2011, 46 NAPAs had been submitted) and some are already undertaking a review to incorporate new information into the revision and update of their NAPA and other related plans. As of May 2011, 43 countries had submitted at least one project under the LDCF and 28 projects had been endorsed by the CEO of the GEF.

**Best practice.** The concurrent definition of the plan (the NAPA), technical support (through the LEG) and funding (through the LDCF), is useful for supporting national planning and the implementation of activities and projects identified in plans. The NAPAs are widely viewed as a success story, and readily available funding for their implementation makes them extremely useful plans for LDCs as they address the serious impacts of climate change.

**Lessons learned.** Operational guidelines for supporting the implementation of NAPAs were developed when support for implementation was given priority by the COP in 2005, after some NAPAs had already been completed. This may have resulted in delays in the implementation of NAPAs, as the project profiles in the completed NAPAs were not readily usable in accessing funding for project development as more information was needed to fully prepare project proposals for submission to the GEF. The situation was further complicated by a change in GEF templates for project development and the decision to cancel all projects in the GEF pipeline, thereby requiring the resubmission of NAPAs using the new templates. The main lesson is that both the guidelines for the preparation and the implementation of a plan should be done concurrently, in order to guide finalization of the plan such that no information is missed and the plans can be implemented without delay. Another lesson is that interim arrangements are necessary to ensure the smooth flow of project development and implementation when guidelines or templates change, as they must, to accommodate improvements and innovations.

#### 4.2.2. THE NAPA APPROACH ALLOWS COUNTRIES FLEXIBILITY IN DESIGN AND IMPLEMENTATION

The NAPA approach is characterized by steps in the preparation of the NAPA, from forming teams, to the synthesis of available knowledge, the participatory rapid assessment of vulnerabilities and risks, and the ranking of vulnerabilities and project activities, guided by locally defined criteria. A feedback loop allows for the periodic review of risks and the prioritization of activities. The whole process builds on available knowledge, without the need for additional research, and allows for flexible choices with regard to the region and number of sectors that are considered. The NAPA approach can be applied to a specific geographical region of a country, from a local community to the entire country or multi-country region, and equally well to one or a few sectors, or all sectors of government.

Additionally, since a synthesis of submitted NAPAs has shown that most climate change effects relate to the same occurrences (floods, droughts, tropical storms, shifting growing seasons and related impacts), many countries have manifested an interest in scaling up or replicating similar projects. This implies covering a greater number of target communities and regions without having to develop new projects for submission and concrete adaptation actions that have already been tested could then be implemented without delay.

**Best practice.** The use of locally defined criteria further increases the flexibility of the approach, in order to suit local development priorities. Participation by multiple stakeholders from different ministries, sectors and disciplines ensures diversity and representation in the resulting list of priority activities in the NAPA. Countries are able to implement any of their listed priorities or can combine several activities into a project or programme.

**Lessons learned.** During the preparation phase, some countries opted to focus on a subregion of a large country, based on their perception of highly vulnerable regions in their country. Others chose to work in a few sectors deemed most vulnerable to climate change. This flexibility helped countries identify the most urgent adaptation needs, given the limited resources available for the preparation phase. Flexibility in the choice of which priority activities in the NAPA to implement first helps countries to best match project activities with a chosen GEF agency.

#### 4.2.3. ENGAGING STAKEHOLDERS FROM THE NAPA PREPARATION STAGE IN IMPLEMENTATION AND OTHER SUBSEQUENT STEPS HAS MANY ADVANTAGES

In all LDCs, the preparation of NAPAs involved the active engagement of a wide range of stakeholders at the national and subnational levels, including local communities.

It was noted that establishment of an implementation framework for adaptation activities involving a wide range of stakeholders, including donors, during the NAPA preparation process often facilitated efficient channelling of financial resources and technical expertise for adaptation actions to the local level.

In addition, active involvement of government officers in the NAPA process resulted in greater country ownership as the influence of the GEF implementing agencies on the design of NAPA projects decreased.

The majority of LDC Parties that have started to implement their NAPA sought the effective coordination of all adaptation-related activities with the support of bilateral and/or multilateral partners. The degree of success encountered depended on national circumstances, including the quality of the relationship with the international partners. A number of LDCs were successful in involving potential donors in the final stages of NAPA preparation, in an effort to identify sources of funding other than the LDCF.

**Best practice.** Involving potential donors during the last stages of NAPA preparation when an implementation strategy is designed is a very good practice, as it improves the alignment of implementation to ongoing national projects and programmes from different sources of funding, greatly enhancing the process of identifying co-financing. Bilateral programmes were also able to support some of the NAPA activities in addition to funding from the LDCF. In some countries, donor round tables have been conducted to raise awareness of the priorities identified in the NAPAs. This is a good way to attract additional funding.

The involvement of multiple stakeholders and disciplines ensures that the outcome of the NAPA is fully owned by those that prepared it, and endorsing the NAPA at appropriate levels of government further ensures that the NAPA is fully owned by the national government.

**Lessons learned.** Given the limited funds available in the LDCF, the active exploration of additional funding from other sources contributes to the full implementation of NAPAs.

In general, LDCs with the lowest adaptive capacity and weak institutional arrangements tend to have limited success in accessing funds from the LDCF.

#### 4.2.4. ENVISIONING THE INVOLVEMENT OF NAPA TEAMS IN THE LONG TERM HELPS RAISE AWARENESS AND ENSURES THE CONTINUITY OF ADAPTATION PROGRAMMES AND ACTIVITIES IN THE COUNTRY

For all LDCs, support for the NAPA team ceased with the closure of NAPA preparation projects, leading, in many cases, to a disbanding of the NAPA team. However, as opportunities for adaptation arise, it will become important to build on existing capacity and promote continuity.

LDCs have suggested that a mechanism could be established to maintain national NAPA preparation teams beyond the preparation of NAPAs; the teams could serve as a catalyst to mainstream climate change issues into national development plans by engaging line ministries. The NAPA teams could also assist in the mobilization of resources for the implementation of NAPAs, including supporting the understanding, appreciation and reasoning for co-financing, if it has to be provided.

Experience has indicated that cohesion of the NAPA implementation team is important for the successful implementation of NAPA projects. The need for institutional continuity is perceived to be necessary, not only to bridge the NAPA preparation and implementation phases, but also to link the NAPA process to the implementation of the remaining elements of the LDC work programme, the other multilateral environmental agreements and the preparation of national communications.

The engagement of national experts/consultants and continuous collaboration with all relevant stakeholders across all sectors is also perceived to be a significant factor that positively influences the effectiveness of the implementation of NAPAs.

**Best practice.** Countries that have maintained continuity in the institutional framework between NAPA preparation and implementation tended to be more effective in the implementation of their NAPA.

**Lessons learned.** Continued support for the NAPA team to oversee the design of the implementation phase, beyond the end of the NAPA preparation project, is widely seen as a critical need for many LDCs, in order to avoid any delays in implementation and nurture the great capacity built in LDCs during the preparation phase. This can be facilitated by allocating some of the budget for the preparation of the NAPA towards maintaining the team during the design of implementation. In addition, promoting local expertise is seen by many as a means of ensuring stronger national ownership of NAPA projects, as personnel will remain and have gained useful local knowledge after the NAPA preparation project has been finalized.

#### 4.2.5. REGULAR INTERACTIONS BETWEEN THE LEG AND THE LDCS HAVE BEEN VERY USEFUL

The LEG was designed to advise LDC Parties in the preparation and implementation of their NAPAs. Parties have expressed great satisfaction at the work of the LEG, and this is due, in part, to the regular interaction with Parties to identify obstacles and develop solutions. The regular interaction with LDC Parties through side events and surveys, as well as face-to-face meetings, has resulted in many obstacles to the NAPA process being resolved, including very specific issues for a given country.

The LEG provided additional assistance by producing the *Annotated Guidelines for the Preparation of National Adaptation Programmes of Action*<sup>30</sup> (2002), followed by a global workshop to launch the NAPA preparation process (2002) and four regional training workshops on the preparation of NAPAs (2003). The workshops were designed to equip NAPA teams with hands-on tools for preparing NAPAs using the LEG *Annotated Guidelines* and to facilitate the exchange of experiences.

Responding to the request of the LDCs, the LEG also put together a training module and undertook five regional training workshops aimed at supporting the LDCs in the design, preparation and submission of project proposals, and addressing barriers and challenges faced by the LDCs in accessing funding under the LDCF, as well as strategies to enhance NAPA implementation. The training was based on the *Step-by-Step Guide for Implementing National Adaptation Programmes of Action*<sup>31</sup> and the five regional workshops were organized based on regional needs and language considerations. They were conducted in close collaboration with the GEF, its agencies and regional and national centres of excellence in each of the target regions.

The LEG is composed of a mix of experts from different disciplines and countries, each bringing unique contributions to the group. Since its constitution in 2001, the LEG has served four mandates, for the periods 2002–2003, 2004–2005, 2006–2007 and 2008–2010.

**Best practice.** The regular interaction between the LEG and Parties during side events and through surveys, as well as with the GEF and its agencies, has created a useful bridge between all stakeholders in the NAPA process and has led to many difficulties being resolved to facilitate the smooth preparation and implementation of NAPAs. The diverse membership in the LEG has also contributed to balanced support being given to LDC Parties, building on the individual expertise and experience of each and every member.

**Lessons learned.** The LEG *Annotated Guidelines for the Preparation of National Adaptation Programmes of Action* have proven to be very useful in providing further explanation of the steps involved in the preparation process. Examples developed by the LEG, guidebooks and technical papers on NAPAs have been very well received by Parties, as well as the regional workshops, which provided LDCs with the opportunity to clarify their doubts and exchange experiences with other countries.

Translating the *Step-by-Step Guide for Implementing National Adaptation Programmes of Action* into French and Portuguese, as well as providing workshops in these two languages, was an effort that was also very well received by the francophone and lusophone LDC Parties, as it allowed some of the officers and stakeholders involved in NAPA activities to gain a better understanding of the process.

#### 4.2.6. GOOD RELATIONS WITH THE GEF AGENCY RESULT IN SMOOTHER IMPLEMENTATION OF NAPA PROJECTS

The process of accessing funding under the LDCF underpins the process of preparing and implementing a NAPA. Following COP guidance, the GEF responds with operational guidance on how countries can access funding via a GEF agency.

The role of the GEF agency is to assist the country in formulating a coherent project idea, based on one (or more) of the highest-ranking NAPA priorities, and convert this idea into a PIF in accordance with current LDCF templates. The country can choose freely between each of the 9 GEF agencies for the implementation of its project(s). It is also possible to implement separate projects with separate agencies, or have two or more agencies working together in one project to utilize their expertise in specific sectors. The choice of GEF agency(ies) should be based on its comparative advantage in relation to the specific issues addressed by the project implemented. Additional considerations include current projects being implemented by the agency chosen, past experiences and working relations with the agency.

There has been considerable discussion of the experience of LDC Parties in accessing funding during previous LEG meetings and in an effort to improve this process, the LEG conducted training on how to write proposals to the GEF. Each agency has its own procedures for developing projects, and although the agency will assist the country in fulfilling all the requirements for the project, this may lead to delays in processing the project and misunderstandings if the requirements are not clearly communicated.

Experience shows that countries that chose an agency with which they had had a previous positive experience in other projects had a higher level of satisfaction, mostly because better interaction also meant greater transparency in the exchange of information, a clear understanding of each other's roles and responsibilities, a better ownership of the projects and more realistic expectations regarding the whole process.

After a lot of dialogue between the GEF and its agencies with LDC Parties, as well as the training conducted by the LEG in close collaboration with the GEF and its agencies, many of the bottlenecks have been addressed and access to funding appears to be much smoother. The time taken to obtain GEF CEO endorsement for projects has been reduced and many more GEF agencies are becoming involved in NAPA implementation.

**Best practice.** One of the challenges that some countries face is in the choice of a GEF agency. There is no clear-cut process for selecting an agency, since more than one agency can usually assist with a given project type and because the factors in the choice are varied. A good practice seems to be to choose an agency that has existing experience in a given activity, since the agency can then easily apply its expertise to the project. In any case, taking the time to assess each agency's advantages against the country's specific circumstances and project objectives can ensure a smoother overall process.

**Lessons learned.** Many countries have reported that good working relations with an agency at the country level can lead to a very positive interaction and smooth implementation of NAPA projects. Good communication is also important in addressing and resolving bottlenecks as they arise. In cases where problems arise, countries can and should contact the GEF secretariat directly for assistance. In the long run, addressing and resolving problems as they arise is far easier than cancelling a project and re-entering the GEF/LDCF pipeline with a new submission and another agency.

<sup>30</sup> Available at <[http://unfccc.int/resource/docs/publications/annguid\\_e.pdf](http://unfccc.int/resource/docs/publications/annguid_e.pdf)>.

<sup>31</sup> Available at <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf)>.

#### 4.2.7. DESIGNING A THOROUGH IMPLEMENTATION STRATEGY CAN IMPROVE THE EFFECTIVENESS OF NAPA IMPLEMENTATION

An important decision to be made early on is how to approach the implementation of the NAPA. The two main options are either to pursue funding through the LDCF for a single project, going through the whole sequence of steps in submitting a proposal, or to design a strategy for implementing the whole NAPA. This would be done by designing an integrated or programmatic approach that would address all of the priority needs, going through the planning and justifications for implementation, then accessing the LDCF for an initial phase of the implementation under the current ceiling of funding available to each LDC.

The single project referred to here can include multiple NAPA priority activities; however, it is packaged as one project in terms of GEF processing. A country may initially choose to pursue only one project through the LDCF in order to start the implementation process quickly, or when there are no resources to design the more integrated approach. Most LDCs have followed this route so far and have accessed the LDCF for implementing one discrete project.

More recent discussions on adaptation have explored the value of programmatic approaches to increase the effectiveness of interventions and to ensure sustainability of the activities when they are fully integrated into sectoral and other national activities and programmes.

However, it was noted that even though a programmatic approach may make more sense for enhanced coordination and adaptation benefits, it would require significantly more funds than are currently available to each LDC under the LDCF alone and would also require more effort to develop.

There is also a recognition that since clear guidance on policy and project design was not provided at the early stages of NAPA preparation, most LDCs were not able to develop an implementation strategy during the NAPA preparation phase that matched subsequent guidance on the implementation of NAPAs under the LDCF.

**Best practice.** Thorough implementation strategies can help take advantage of opportunities as increased funding becomes available. Countries that were able to carefully consider and plan their implementing strategy during the NAPA preparation process generally experienced a smoother transition into the implementation phase.

**Lessons learned.** Some LDCs have felt that the absence of early guidelines for the implementation of NAPAs has prohibited the development of a comprehensive implementation strategy during the NAPA preparation phase. Many LDCs adopted a single project approach and would have favoured a programmatic approach if clear guidelines to develop such an approach had been made available to them.

#### 4.2.8. THE SIMPLIFIED LDCF PROJECT CYCLE PROVIDES EXPEDITED ACCESS TO RESOURCES

The LDCF was established by the COP in 2001 to support the implementation of the LDC work programme. Based on the guidance of decision 3/CP.11, the LDCF has developed several special concepts, designed to simplify project preparation and provide expedited access to LDCF resources. The project cycle for the LDCF is therefore much simpler than for regular GEF projects, since projects under the LDCF are processed upon receipt, reducing delays. The process is being further streamlined to include only one approval from the GEF LDCF Council.

Under the LDCF, each LDC can access a share of the total resources, and this share will grow proportionally with the size of the fund. As of 31 March 2011, donors had pledged USD 324 million to the LDCF.

Many Parties felt that the evolution over time of the GEF guidelines for accessing the LDCF and the need for LDCs to adjust to those changes led to excessive delays in the implementation of NAPA projects, as exemplified by the introduction of the new procedures to access LDCF funding.

When NAPAs were initiated, the project cycle was based on a defined set of templates: these templates were subsequently changed for new ones. However, the *Annotated Guidelines for the Preparation of National Adaptation Programmes of Action* provided guidance on developing project profiles based on information requirements from the initial templates and LDCs that were in the implementation phase during these changes had their projects cancelled and had to resubmit their project proposals using the new formats, which caused a considerable delay in project approval.

The GEF agencies support countries with their adaptation activities using funding from different GEF-managed funds, as well as funding from other sources. To facilitate their own internal working procedures, the agencies have developed templates and a list of core components of the adaptation projects they support. While the NAPA only focuses on urgent and immediate adaptation needs and the LDCF has expedited procedures, the practical steps used by agencies frequently do not take this into account, and all projects are developed using the agencies' standard procedures regardless of the source of funding. This results in lengthy project development phases and, on occasions, a repetition of the steps already carried out during the NAPA preparation stage, such as stakeholder consultations.

**Best practice.** The simplified project cycle for LDCF projects has made it easier for LDCs to access funds under the GEF. Many concepts, such as co-financing adaptation projects, have been refined and simplified through the LDCF, leading to much simpler project formulations compared to regular projects under the GEF Trust Fund that have to show global benefits through incremental cost reasoning.

The principle of 'balanced access' used by the LDCF is also a good practice, as it avoids the risks of a 'first come, first served' policy that would deplete all resources among a limited number of LDCs, namely those with higher institutional capacity for project development.

**Lesson learned.** Changing procedures is necessary to accommodate changes and the enhancement of processes; however, due consideration should be given to transitional arrangements so as to avoid unnecessary and/or excessive delays. The main recommendation drawn from experiences with the switch from PDFs to PIF/PPGs is that, in future, no delays should be imposed on projects in the pipeline to the point of re-submission and re-approval if at all possible. Measures should be put in place to facilitate a smooth transition. Many LDCs felt that, given the fact that each LDC is assured a certain amount of funding from the LDCF, the process of accessing the funds could be made a lot easier, with a focus on designing implementation, rather than justifying the choice of a project. Transparency in agency procedures during the design and implementation of projects can help avoid conflicting expectations of countries.

#### 4.2.9. ADAPTATION PLANNING WITH AN INITIAL FOCUS ON URGENT AND IMMEDIATE NEEDS CAN CAPITALIZE ON EXISTING KNOWLEDGE

The level of knowledge varies among countries, especially among the LDCs, but at the global and regional level, through collective efforts, it is very good.

Many Parties have affirmed that it is not necessary to await a complete scientific understanding of the impacts of climate change before acting, and that in adapting to climate change, there are many actions that can be undertaken to enhance adaptive capacity and reduce the impacts and costs of addressing climate change at a later date.

In fact, the necessity to address immediate and urgent adaptation needs that can already be identified with current knowledge underpins the design of the NAPA. In that respect, the NAPA is a concept that has a great deal of value in ensuring that LDCs can address immediate known impacts of climate change while at the same time strengthening their capacity to address and meet future adaptation needs by building their resilience and enhancing their coping ability.

The remaining elements of the LDC work programme are also very important in that they were designed to supplement the NAPAs to bridge the capacity gap in addressing climate change in the LDCs.

**Best practice.** In many countries, the conduct of consultations as part of the NAPA preparation phase was an opportunity to collect relevant existing information on vulnerability to climate change from a wide range of stakeholders, including local governments, grass-roots communities, registered religious groups, associations, NGOs and the private sector. During the stakeholder consultations, some of the NAPA teams were even provided with sound examples of traditional and contemporary community-based adaptation that had already been implemented at the community level. This information was a good starting point for identifying relevant activities to address urgent and immediate adaptation needs.

**Lesson learned.** Some differences can appear between the information provided by the communities and the information collected at the government level. Often, the differences are due to the fact that communities tend to be primarily demand-driven while governments are predominantly politically driven. Therefore, adaptation needs and expectations both of communities and of governments need to be managed carefully, including through the identification of relevant adaptation activities by using, for example, a multicriteria analysis.

In parallel, the LEG continues to engage in discussions with the GEF, its implementing agencies, the LDC Parties and the NAPA teams to help identify the bottlenecks and the corresponding solutions for more effective progress in addressing the concerns of the LDCs.

This publication is therefore not a final product. It constitutes a first step towards the development of a best practices and lessons learned platform which will draw on the country case studies and outcomes of the above-mentioned discussions.

#### 4.3. NEXT STEPS: ADDITIONAL COUNTRY CASE STUDIES AND WORK TOWARDS A BEST PRACTICES AND LESSONS LEARNED PLATFORM

Further data and information are currently being collected and each LDC Party is being contacted to update its information with a view to developing a continuous monitoring and tracking of the progress of the NAPAs and of the implementation of the other elements of the LDC work programme.

To facilitate the screening of further best practices and lessons learned, the LEG will develop specific procedures, including steps to engage various stakeholders and relevant organizations in providing additional inputs and views. The LEG intends to share information on experiences, best practices and lessons learned for each LDC on the LDC Portal.<sup>32</sup>

<sup>32</sup> Available at <<http://www.unfccc.int/lde>>.

## V. ANNEXES/TABLES

### 5.1. STATUS OF NAPA PREPARATION AND IMPLEMENTATION, AS OF 22 SEPTEMBER 2011

Table V-2. Status of NAPA preparation and implementation, as of 22 September 2011

Country	NAPA submission	Status of projects submitted to the LDCF		
		Project title	PIF first submission	CEO endorsement
Afghanistan	September 2009	Project no. 1: Building adaptive capacity and resilience to climate change in Afghanistan	February 2010	-
Angola	Not yet submitted	-	-	-
Bangladesh	November 2005	Project no. 1: Community-based adaptation to climate change through coastal afforestation	April 2007	December 2008
Benin	January 2008	Project no. 1: Integrated adaptation programme to combat the effects of climate change on agricultural production and food security in Benin	June 2008	January 2010
Bhutan	May 2006	Project no. 1: Reducing climate change-induced risks and vulnerabilities from glacial lake outbursts in the Punhakha-Wangdi and Chamkhar Valleys	August 2007	March 2008
Burkina Faso	December 2007	Project no. 1: Strengthening adaptation capacities and reducing the vulnerability to climate change in Burkina Faso	August 2008	April 2009
Burundi	February 2007	Project no. 1: Enhancing climate risk management and adaptation in Burundi	April 2010	-
Cambodia	March 2007	Project no. 1: Vulnerability assessment and adaptation programme for climate change within coastal zone of Cambodia considering livelihood improvement and ecosystems	January 2010	-
		Project no. 2: Strengthening the adaptive capacity and resilience of rural communities using micro watershed approaches to climate change and variability to attain sustainable food security	August 2011	-
Cape Verde	December 2007	Project no. 1: Building adaptive capacity and resilience to climate change in the water sector in Cape Verde	December 2009	September 2009
Central African Republic	June 2008	Project no. 1: Integrated adaptation programme to combat the effects of climate change on agricultural production and food security	September 2010	-
Chad	February 2010	Project no. 1: Enhance the adaptive capacities of national institutions and rural communities in addressing climate change impacts on the agricultural and water sectors in the Republic of Chad	December 2010 <i>Project being revised to align it with the Great Green Wall initiatives</i>	-

Table V-2. Status of NAPA preparation and implementation, as of 13 May 2011 (continued)

Country	NAPA submission	Status of projects submitted to the LDCF		
		Project title	PIF first submission	CEO endorsement
Comoros	November 2006	Project no. 1: Adapting water resource management in Comoros to increase capacity to cope with climate change	December 2008	August 2010
Democratic Republic of the Congo	September 2006	Project no. 1: Building the capacity of the agriculture sector in the Democratic Republic of the Congo to plan for and respond to the additional threats posed by climate change on food production and security	July 2008	January 2010
Djibouti	October 2006	Project no. 1: Implementing NAPA priority interventions to build resilience in the most vulnerable coastal zones in Djibouti	June 2007	May 2010
Eritrea	May 2007	Project no. 1: Integrating climate change risks into community-based livestock management in the Northwestern Lowlands of Eritrea	May 2007	August 2009
Ethiopia	June 2008	Project no. 1: Promoting autonomous adaptation at the community level in Ethiopia	February 2010	-
Gambia	January 2008	Project no. 1: Vulnerability strengthening of the Gambia climate change early warning systems	July 2008	March 2011
Guinea	July 2007	Project no. 1: Increased resilience and adaptation to adverse impacts of climate change in Guinea's vulnerable coastal zones	June 2008	October 2010
Guinea-Bissau	February 2008	Project no. 1: Strengthening resilience and adaptive capacity to climate change in Guinea-Bissau's agrarian water sectors	June 2009	December 2010
Haiti	December 2006	Project no. 1: Strengthening adaptive capacities to address climate change threats on sustainable development strategies for coastal communities in Haiti	August 2008	December 2010
		Project no. 2: Strengthening climate resilience and reducing disaster risk in agriculture to improve food security in Haiti post-earthquake	February 2010	-
Kiribati	January 2007	Project no. 1: Increasing resilience to climate variability and hazards	August 2009	August 2011
Lao People's Democratic Republic	May 2009	Project no. 1: Improving the resilience of the agricultural sector in Lao PDR to climate change impacts	August 2009	November 2010
		Project no. 2: Effective governance for small scale rural infrastructure and disaster preparedness in a changing climate	2011	-
Lesotho	June 2007	Project no. 1: Improvement of early warning system to reduce impacts of climate change and capacity-building to integrate climate change into development	November 2008	June 2011

Table V-2. Status of NAPA preparation and implementation, as of 13 May 2011 (continued)

Country	NAPA submission	Status of projects submitted to the LDCF		
		Project title	PIF first submission	CEO endorsement
Liberia	July 2007	Project no. 1: Enhancing resilience of vulnerable coastal areas to climate change risks in Liberia	February 2010	June 2010
		Project no. 2: Enhancing resilience to climate change by mainstreaming adaptation concern into agricultural sector development in Liberia	June 2010	-
Madagascar	December 2006	-	-	-
Malawi	March 2006	Project no. 1: Climate adaptation for rural livelihoods and agriculture (CARLA)	April 2007	October 2010
Maldives	March 2008	Project no. 1: Integration of climate change risks into the Maldives safer island development programme	November 2008	November 2009
Mali	December 2007	Project no. 1: Enhancing adaptive capacity and resilience in the agricultural sector in Mali	September 2008	March 2010
		Project no. 2: Integrating climate resilience into agricultural production for food security in rural areas of Mali	April 2009	April 2011
Mauritania	November 2004	Project no. 1: Support to the adaptation of vulnerable agricultural production systems in Mauritania	February 2009	June 2011
Mozambique	July 2008	Adaptation in the coastal zone of Mozambique	Not available	-
Myanmar	Not yet submitted	-	-	-
Nepal	November 2010	Project no. 1: Community Based Flood and Glacial Lake Outburst Risk Reduction	Not available	-
Niger	July 2006	Project no. 1: Implementing NAPA priority interventions to build resilience and adaptive capacity of the agricultural sector to climate change in Niger	September 2007	August 2009
Rwanda	May 2007	Project no. 1: Reducing vulnerability to climate change by establishing early warning and disaster preparedness systems and support for integrated watershed management in flood prone areas	October 2008	March 2010
Samoa	December 2005	Project no. 1: Integrated climate change adaptation in Samoa (ICCAS)	April 2007	February 2009
		Project no. 2: Integration of climate change risk and resilience into forestry management (ICCRIFS)	December 2009	March 2011
Sao Tome and Principe	November 2007	Project no. 1: Sao Tome and Principe: adaptation to climate change	May 2009	May 2011
		Project no. 2: Strengthening the adaptive capacity of most vulnerable Sao Tomean's livestock-keeping households	June 2010	-

Table V-2. Status of NAPA preparation and implementation, as of 13 May 2011 (continued)

Country	NAPA submission	Status of projects submitted to the LDCF		
		Project title	PIF first submission	CEO endorsement
Senegal	November 2006	Project no. 1: Climate change adaptation project in the areas of watershed management and water retention	Not available	-
Sierra Leone	June 2008	Project no. 1: Integrating adaptation to climate change into agricultural production and food security in Sierra Leone	July 2008	December 2010
Solomon Islands	December 2008	-	-	-
Sudan	June 2007	Project no. 1: Implementing NAPA priority interventions to build resilience in the agricultural and water sectors to the adverse impacts of climate change	August 2007	September 2009
United Republic of Tanzania	September 2007	Project no. 1: Developing core capacity to address adaptation to climate change in Tanzania in productive coastal zones	September 2009	-
Timor-Leste	September 2011	Project no. 1: Strengthening the resilience of small scale rural infrastructure and local government systems to climatic variability and risk	September 2011	-
Togo	September 2009	Project no. 1: Strengthening the adaptive capacities of the agricultural sector to climate change in Togo	May 2010 <i>Project has been withdrawn</i>	-
		Project no. 1(bis): Adapting Agriculture Production in Togo (ADAPT)	August 2011	-
Tuvalu	May 2007	Project no. 1: Increasing resilience of coastal areas and community settlements to climate change	May 2008	November 2009
Uganda	December 2007	-	-	-
Vanuatu	December 2007	Project no. 1: Increasing resilience to climate change and natural hazards	September 2008	-
Yemen	April 2009	Project no. 1: Integrated coastal zone management in Yemen	April 2009	-
Zambia	October 2007	Project no. 1: Adaptation to the effects of droughts and climate change in agro-ecological zone 1 and 2 in Zambia	June 2008	December 2009

Abbreviations: NAPA = national adaptation programme of action; LDCF = Least Developed Countries Fund; PIF = Project Identification Form; CEO = Chief Executive Office of the GEF.

## 5.2. SELECTED PUBLICATIONS BY THE LEG

**Table V-3. Selected publications by the LEG**

Cover page	Title and web link	Brief annotation
	<b>Step-by-Step Guide for Implementing National Adaptation Programmes of Action</b> (English, French and Portuguese) English < <a href="http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf">http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf</a> >	The guide has been written to support LDCs in designing the implementation of NAPAs and to guide country teams in accessing existing funding from the LDCF for implementing their NAPAs. The guide was written by the LEG, in collaboration with the GEF and its agencies.
	French < <a href="http://unfccc.int/resource/docs/publications/ldc_napa2009_fr.pdf">http://unfccc.int/resource/docs/publications/ldc_napa2009_fr.pdf</a> >	
	Portuguese < <a href="http://unfccc.int/resource/docs/publications/ldc_napa2009_pr.pdf">http://unfccc.int/resource/docs/publications/ldc_napa2009_pr.pdf</a> >	
	<b>NAPA Source Kit CD-ROM (2009)</b>	The CD-ROM contains all documents relevant to LDCs under the UNFCCC including COP decisions, the Step-by-Step Guide for Implementing National Adaptation Programmes of Action, training materials developed by the LEG and LDCF project documents submitted to the GEF.
	Information paper 2009: <b>Support Needed to Fully Implement National Adaptation Programmes of Action</b> < <a href="http://unfccc.int/resource/docs/publications/09_ldc_sn_napa.pdf">http://unfccc.int/resource/docs/publications/09_ldc_sn_napa.pdf</a> >	This paper analyses the information submitted in NAPAs as well as costing data in project proposals submitted to the GEF for funding under the LDCF to provide an estimate of the financial support needed to fully implement NAPAs. Other types of support, including capacity-building, technology development and transfer and institutional arrangements, are also considered.
	Technical Paper 2009: <b>Overview of Preparation, Design of Implementation Strategies and Submission of Revised Project Lists and Profiles</b> < <a href="http://unfccc.int/resource/docs/publications/ldc_tp2009.pdf">http://unfccc.int/resource/docs/publications/ldc_tp2009.pdf</a> >	This paper describes the steps in the preparation of NAPAs and explores options for addressing problems identified by NAPA teams, while building upon lessons learned and best practices. The paper then presents a possible approach for updating NAPAs, to be used by LDC Parties in submitting information that would supplement previously submitted NAPAs as a way of updating risks and priorities being faced. The paper is also a contribution of the LEG towards the Nairobi work programme, and could inform the discussions on adaptation planning under the AWG-LCA under the Convention.

Table V-3. Selected publications by the LEG (continued)

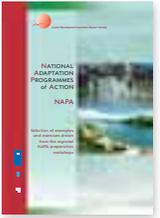
Cover page	Title and web link	Brief annotation
	<p>LDC Brochure 2009: <b>Least Developed Countries under the UNFCCC</b></p> <p><a href="http://unfccc.int/resource/docs/publications/ldc_brochure2009.pdf">http://unfccc.int/resource/docs/publications/ldc_brochure2009.pdf</a></p>	A presentation of the LDCs under the UNFCCC
	<p><b>Annotated Guidelines for the Preparation of National Adaptation Programmes of Action</b> (English, French and Portuguese)</p> <p>English <a href="http://unfccc.int/resource/docs/publications/annguid_e.pdf">http://unfccc.int/resource/docs/publications/annguid_e.pdf</a></p> <p>French <a href="http://unfccc.int/resource/docs/publications/annguid_f.pdf">http://unfccc.int/resource/docs/publications/annguid_f.pdf</a></p> <p>Portuguese <a href="http://unfccc.int/resource/docs/publications/annguid_p.pdf">http://unfccc.int/resource/docs/publications/annguid_p.pdf</a></p>	The LEG developed annotations to the guidelines for the preparation of NAPAs to provide clarifications on the activities that would need to be undertaken at each step of the NAPA preparation process.
	<p><b>Selection of Examples and Exercises Drawn from the Regional NAPA Preparation Workshops</b></p> <p><a href="http://unfccc.int/6110.php">http://unfccc.int/6110.php</a></p>	The primary objective of this publication is to share the results of the experience gathered during the four regional workshops dedicated to the NAPAs. These workshops were organized under the leadership of the LEG, with the support of UNDP/GEF- funded projects, UNEP and the Swiss Agency for the Environment, Forests and Landscape (SAEFL). The United Nations Institute for Training and Research (UNITAR) was the executing agency.
	<p><b>The NAPA Primer</b></p> <p><a href="http://unfccc.int/6110.php">http://unfccc.int/6110.php</a></p>	This primer is designed to introduce the National Adaptation Programme of Action (NAPA) and how it fits within the broader discussions of climate change and adaptation.
	<p>Technical Paper-2005-2: <b>Synthesis of Available Information for the Preparation of National Adaptation Programmes of Action</b></p> <p><a href="http://unfccc.int/resource/docs/2005/tp/eng/02.pdf">http://unfccc.int/resource/docs/2005/tp/eng/02.pdf</a></p>	This technical paper prepared by the LEG provides a synthesis of available information for the preparation of NAPAs. It responds to a need identified by LDC Parties during regional workshops on NAPA preparation held by the LEG in 2003. The paper covers the nature of information to be sought as well as ways to access sources of this information.

Table V-3. Selected publications by the LEG (continued)

Cover page	Title and web link	Brief annotation
	<p>Technical Paper-2005-3: <b>Synergy Among Multilateral Environmental Agreements</b></p> <p><a href="http://unfccc.int/resource/docs/2005/tp/eng/03.pdf">http://unfccc.int/resource/docs/2005/tp/eng/03.pdf</a></p>	<p>This paper presents a synthesis of information relating to adaptation to climate change in the context of creating synergy among multilateral environmental agreements (MEAs), which could be useful in the preparation and implementation of NAPAs.</p>
	<p>Technical Paper-2005-4: <b>Regional synergy in the Context of National Adaptation Programmes of Action</b></p> <p><a href="http://unfccc.int/resource/docs/2005/tp/eng/04.pdf">http://unfccc.int/resource/docs/2005/tp/eng/04.pdf</a></p>	<p>This paper presents a synthesis of information relating to regional synergy in the context of adaptation to climate change that could be useful in the preparation and implementation of NAPAs. The paper reviews NAPA proposals as well as other relevant documents. It also describes relevant existing programmes and projects undertaken by various international entities, with the aim of identifying opportunities for cooperative action during the NAPA process. The paper identifies possible action through which the LEG can enhance the promotion of regional synergy during the preparation and implementation of NAPAs.</p>
	<p>Technical Paper-2005-5: <b>Elements for Implementation Strategies for National Adaptation Programmes of Action</b></p> <p><a href="http://unfccc.int/resource/docs/2005/tp/eng/05.pdf">http://unfccc.int/resource/docs/2005/tp/eng/05.pdf</a></p>	<p>This technical paper prepared by the LEG provides elements for implementation strategies for NAPAs. It responds to a need identified by LDC Parties and NAPA teams for further guidance on ranking priorities for urgency, funding sources, institutional frameworks for NAPA implementation, mainstreaming, and monitoring and evaluation of NAPA activities.</p>

**Abbreviations:** NAPA = national adaptation programme of action; LDC= least developed countries; LEG= least developed countries expert group; GEF= Global Environment Facility; LDCF = Least Developed Countries Fund; PIF = Project Identification Form; CEO = Chief Executive Office (of the GEF); UNFCCC= United Nations Framework Convention on Climate Change; AWG-LCA = Ad hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA); UNDP = United Nations Development Programme; UNEP = United Nations Environment Programme;

### 5.3. KEY LDCF DOCUMENTS AND PUBLICATIONS BY THE GEF

**Table V-4. Key LDCF documents and publications by the GEF**

Title	Web Link
Operational Guidelines for Expedited Funding for the Preparation of National Adaptation Programmes of Action by Least Developed Countries. April 2002	<a href="http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/gefsecnapaguideeng.pdf">http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/gefsecnapaguideeng.pdf</a>
Programming Paper for Funding the Implementation of NAPAs under the LDC Trust Fund. May 2006	<a href="http://www.thegef.org/gef/sites/thegef.org/files/documents/GEFC.28.18.pdf">http://www.thegef.org/gef/sites/thegef.org/files/documents/GEFC.28.18.pdf</a>
Comparative Advantages of the GEF Agencies. June 2007 (GEF/C.31/5 rev.1)	<a href="http://www.thegef.org/gef/sites/thegef.org/files/documents/C.31.5%20Comparative%20advantages.pdf">http://www.thegef.org/gef/sites/thegef.org/files/documents/C.31.5%20Comparative%20advantages.pdf</a>
Results-Based Management Framework for Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF). May 2009 (GEF/LDCF.SCCF.6/4)	<a href="http://www.thegef.org/gef/sites/thegef.org/files/documents/LDCF.SCCF_.6.4.Results_based_Management.pdf">http://www.thegef.org/gef/sites/thegef.org/files/documents/LDCF.SCCF_.6.4.Results_based_Management.pdf</a>
Implementation of Results-Based Management under the Least Developed Countries Fund and the Special Climate Change Fund. October 2009 (GEF/LDCF.SCCF.7/4)	<a href="http://www.thegef.org/gef/sites/thegef.org/files/documents/LDCF.SCCF_.7.4_RBM%20implementation%20paper_v.7.pdf">http://www.thegef.org/gef/sites/thegef.org/files/documents/LDCF.SCCF_.7.4_RBM%20implementation%20paper_v.7.pdf</a>
Accessing Resources under the Least Developed Countries Fund. May 2010 (GEF/LDCF.SCCF.8/3)	<a href="http://www.thegef.org/gef/sites/thegef.org/files/documents/Accessing%20Resources.pdf">http://www.thegef.org/gef/sites/thegef.org/files/documents/Accessing%20Resources.pdf</a>
Accessing Resources under the Least Developed Countries Fund. July 2011	<a href="http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf">http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf</a>

Abbreviations: NAPAs = national adaptation programmes of action; LDC= least developed countries; GEF= Global Environment Facility.



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