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## **Framework Convention on Climate Change**

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### **Subsidiary Body for Implementation**

**Thirty-fifth session**

**Durban, 28 November to 3 December 2011**

Agenda item 7(a) and (b)

**National adaptation plans**

### **National adaptation plans**

#### **Draft conclusions proposed by the Chair**

The Subsidiary Body for Implementation, at its thirty-fifth session, decided to recommend the draft decision, as contained in the annex, for consideration and finalization by the Conference of the Parties at its seventeenth session.

## Annex

### Draft decision -/CP.17

#### National adaptation plans

*The Conference of the Parties,*

*Recalling* Article 4, paragraphs 1, 3, 4, 5, 8 and 9, of the Convention,

*Recalling* decisions 5/CP.7, 7/CP.7, 27/CP.7, 28/CP.7, 29/CP.7, 1/CP.10, 1/CP.15 and 1/CP.16,

*Acknowledging* that many developing country Parties are already making efforts to plan, prepare and implement measures to ensure adequate adaptation to climate change,

*Recognizing* the progress made by the least developed countries in preparing and implementing national adaptation programmes of action to address their urgent and immediate adaptation needs,

*Acknowledging* the efforts already made by Parties to meet the specific needs and concerns of developing country Parties, in particular the least developed countries, with regard to adaptation,

*Recognizing* the lessons learned in accessing funding, and in preparing and implementing national adaptation programmes of action,

*Acknowledging* that national adaptation plans are basic building blocks to enable all developing country Parties to assess their vulnerabilities and mainstream climate change risks,

*Recognizing* the need for the least developed countries and other developing country Parties to urgently identify and address their medium- and long-term adaptation needs with urgency,

*Recognizing* the need to orient adaptation planning towards the broader context of sustainable development planning,

*Recognizing* the role of the Nairobi work programme on impacts, vulnerability and adaptation to climate change in fostering adaptation knowledge and the sharing of best practice,

#### A. Framing national adaptation plans

##### 1. Objectives

1. *Agrees* that the objectives of the national adaptation plans, for the formulation and implementation of adaptation actions, are:

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

(b) To integrate climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and across different levels, as appropriate;

## 2. Overarching elements

2. *Agrees* that the national adaptation plans should be based on and guided by the best available scientific knowledge and, as appropriate, by traditional and indigenous knowledge, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;

3. *Agrees* that planning for adaptation at the national level is a continuous, progressive and iterative process, the implementation of which should be based on the priorities of developing country Parties and coordinated with their sustainable development objectives, plans, policies and programmes.

## B. A process to enable the least developed country Parties to formulate and implement national adaptation plans

### 1. Objectives and principles for the least developed countries process

4. *[Reiterates* that the purpose of this process under the Convention is to enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action, as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs;] *[Agrees* that the purpose of this process under the Convention is to facilitate the efforts of the least developed country Parties to plan, prepare and implement actions or activities that increase resilience to climate change and to ensure environmental, social and economic development in a long-term and sustainable manner;]

5. *Agrees* that the national adaptation plan process should not be prescriptive nor result in the duplication of efforts undertaken in countries, but should rather facilitate country-owned, country-driven action, in a participatory, gender-sensitive, fully transparent cost-effective manner; taking into consideration vulnerable groups, communities and ecosystems; (proposal to move this paragraph to section A)

6. *[Agrees* that the national adaptation plan process for least developed country Parties [under the Convention ]should contribute to the capacities and efforts of Parties to address actions or activities that increase resilience to climate change, and ensure environmental, social and economic development in a long-term and sustainable manner including through, inter alia, the generation and sharing of knowledge, experiences and understanding of adaptation to climate change; facilitating the mobilization of technical and financial support and facilitating the cooperation and engagement of a broad range of stakeholders;]

### 2. Guidelines

6 bis. *Agrees* that the guidelines for the preparation of national adaptation plans build on and complement existing adaptation planning;

7. *Decides* to adopt the guidelines for the preparation of national adaptation plans, contained in the Annex to this decision;

8. *[Decides* to review, and if necessary revise, the guidelines at its eighteenth session;]

9. *Invites* the least developed country Parties [and other interested particularly vulnerable developing country Parties ]to use the guidelines and modalities contained in this decision, in accordance with their national circumstances in preparing their national adaptation plans;

10. *Also invites* the least developed country Parties [and other interested particularly vulnerable developing country Parties] to strive to implement[, inter alia, the following] institutional arrangements [to facilitate] [as part of ]their national adaptation plan process, [building on existing institutions and consistent with their national circumstances;] [subject to the availability of adequate and predictable support:

- (a) A functional national-level process that addresses short, medium- and long-term adaptation, which should include, where applicable, existing adaptation strategies, plans and programmes;
- (b) Functional institutional arrangements and coordination mechanisms;
- (c) Enabling environments such as national policy frameworks and legislation;
- (d) Systems for measuring progress, and for reviewing, monitoring and evaluating;
- (e) Systems for capturing and communicating progress, needs, lessons learned and best practices between all stakeholders at the national and international levels;]

### 3. Modalities

11. *Decides* [to employ ]the following modalities to support the process to enable the least developed country Parties to formulate and implement national adaptation plans, inter alia:

- (a) [Detailed ][elaborated ]technical guidelines, to be prepared, for the national adaptation plans based on the guidelines referred to in the annex to this decision;
- (b) Workshops, training activities, expert meetings and regional exchanges;
- (c) Syntheses of experiences, best practices and lessons learned;
- (d) Technical papers;

12. *Requests* the Least Developed Countries Expert Group[, the Adaptation Committee and the Technology Executive Committee,] to [consider the provision of][provide] technical guidance and support to this process, as appropriate, and in the context of their existing work and available resources;

13. *Requests* the Least Developed Countries Expert Group, in carrying out its mandate to support the identification and implementation of medium- and long-term adaptation in the least developed countries, to[ prioritize] support for the preparation and implementation of national adaptation plans;

14. [*Requests* the Least Developed Countries Expert Group to prepare [detailed][elaborated] technical guidelines for the national adaptation plans based on the guidelines referred to in the annex to this decision, in consultation with the Adaptation Committee, as appropriate, and with input from other relevant bodies and organizations, including the partners of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, for dissemination to developing country Parties;]

15. [*Further requests* the Least Developed Countries Expert Group to arrange a review of the technical guidelines referred to in paragraph 14 above and to identify support needs for the preparation and implementation of national adaptation plans, including through technical meetings and regional training workshops being organized by the group, subject to the availability of resources, in collaboration with relevant organizations;]

16. [*Requests* the Least Developed Countries Expert Group and the Adaptation Committee to include information on [how they have responded to the requests made in this

decision in their reports, as per their respective mandates] their activities relevant to the NAPs in their reports, as per their respective mandates];

17. *Invites* national and regional adaptation centres and networks to support the adaptation planning processes in countries and to engage in supporting these efforts at the regional, national and subnational levels as appropriate; (proposal to move this paragraph to apply to all)

18. *Further invites* Parties to strengthen and facilitate the engagement of regional centres and networks, in particular in developing country Parties, in the implementation of the national adaptation planning processes, in a manner that is country-driven, and that encourages cooperation and coordination between regional stakeholders;(proposal to move this paragraph to apply to all)

#### 4. Financial arrangements for formulation and implementation

19. *Requests* developed country Parties to continue to provide [the least developed country] [developing country]Parties with finance, technology and capacity-building in the context of decision 1/CP.16, [paragraph 18, ]and other relevant decisions of the Conference of the Parties [taking into account the special needs of the least developed countries[ and other developing country Parties that are particularly vulnerable]]];

20.

Option 1:

*Invites* [the United Nations Development Programme and the United Nations Environment Programme] [United Nations bodies, specialized agencies and other relevant organizations as well as bilateral and multilateral agencies to consider establishing support programmes for the national adaptation plan process within their mandate and as appropriate, that would facilitate the enhancement of capacities to undertake adaptation planning drawing, inter alia, on the work of the Least Developed Countries Expert Group, the Adaptation Committee and other relevant bodies under the Convention.][to consider establishing a global support program for the national adaptation plan process that would facilitate financial arrangements and technical support to developing country Parties, in collaboration with the Least Developed Countries Expert Group, the Adaptation Committee and other relevant expert groups under the Convention, building upon the experience of the National Communications Support Programme, and to communicate to the Subsidiary Body for Implementation at its thirty-sixth session their readiness to undertake such an effort and any additional steps they may have undertaken in this regard];

Option 2:

*Invites* the Global Environment Facility, as an operating entity of the financial mechanism entrusted with the operation of the Least Developed Countries Fund to provide financial support to the national adaptation plan process for the least developed country Parties, in addition to funding for the national adaptation programmes of action;

21.

Option 1:

[*Requests* the financial mechanism to strive for streamlined and expedited procedures to assist countries with their national adaptation plan efforts, as appropriate;]

Option 2:

[*Decides* to adopt the following guidance, to guide the support for the national adaptation plan process in the context of the financial support arrangements mentioned above. The funding arrangements should:

- (a) Provide funding to meet the agreed full cost of formulating the national adaptation plans;
- (b) Ensure complementarity of support between the funding for the preparation of national adaptation plans with the funding for other adaptation activities with which the arrangement is entrusted;
- (c) Ensure the separation of the funds for national adaptation plans from other funds;
- (d) Adopt simplified procedures and arrange for expedited access to funding by [the least developed country] [developing country] Parties, [while ensuring sound financial management, taking into account the special needs of the least developed countries as well as of the small island developing States];
- (e) Ensure that co-financing does not become a conditionality for access to funding for national adaptation plans;
- (f) Ensure transparency in all steps relating to the disbursement of funds in supporting the formulation and implementation of national adaptation plans;
- (g) Encourage the use of national and, where appropriate, regional experts and regional centres and networks;]

22. *Invites* [bilateral, multilateral and other financing institutions to support the efforts of interested developing country Parties, and in particular the least developed country Parties, to plan, prepare and implement adaptation actions][Parties to contribute to the [global] support programme[s] for national adaptation plans for the preparation of national adaptation plans];

23. *Also invites* bilateral, multilateral and other financing institutions, and other intergovernmental organizations to support interested developing country Parties[, upon request,] in the national adaptation plan process;

24. *[Requests* developed country Parties to submit information on how they have supported national adaptation plan activities in [interested developing country Parties][least developed country Parties] to the national adaptation plan database hosted by the secretariat as referred to in paragraph 37, on the basis of a self-reporting format established by the secretariat for this purpose;] (proposal to move this paragraph to section D)

25. *[Also requests* [developing country Parties][least developed country Parties] to submit information on their national adaptation plan activities to the national adaptation plan database hosted by the secretariat as referred to in paragraph 37, on the basis of a self-reporting format established by the secretariat for this purpose;] (proposal to move this paragraph to section D)

26. *Decides* to elaborate further guidance on funding for the national adaptation plans at its eighteenth session, with a view to considering the relevant decisions on funding under the Convention[, including on the Green Climate Fund];

**C. An invitation to interested developing country Parties that are not least developed country Parties to employ the modalities**

27. *Reiterates* the invitation to other interested developing country Parties to employ the modalities for national adaptation plans elaborated in this decision;

27 bis. *[Requests* the Adaptation Committee, in accordance with its agreed functions, to prepare a work programme to broaden the coverage of the national adaptation plan process

to include interested developing country Parties that are particularly vulnerable to the impacts of climate change, in accordance with Article 4, paragraph 4 and decision 1/CP.16, paragraph 18, for consideration by the Conference of the Parties at its eighteenth session;]

27 ter. *Invites* interested developing country Parties that are not least developed country Parties to use the guidelines for national adaptation plans for least developed countries adopted in this decision, in accordance with their national circumstances, when formulating their national adaptation plans;

27 quater *[Requests* the Adaptation Committee, in accordance with its functions, to assess the financial and technical support needs for the national adaptation plan process, taking into account developments in relevant agenda items under the Convention, and to recommend any additional guidance on financial, technical and capacity-building support for national adaptation plans as appropriate, through its reports in accordance with its mandate, for consideration by the Conference of the Parties at its eighteenth session;]

27 quinquies. *Invites* bilateral, multilateral and other financing institutions, and other intergovernmental organizations to provide financial support to interested developing country Parties that are not least developed country Parties, [as appropriate] upon request, in the formulation and implementation of national adaptation plans, recognizing that existing planning processes at the national level draw upon a variety of sources of support;

27 sexies.

Option 1:

*[Requests* the relevant operating entities of the financial mechanism of the Convention, including the Green Climate Fund, to provide adequate resources for the [preparation and] implementation of national adaptation plans of interested developing country Parties that are not least developed country Parties;]

Option 2:

*[Decides* to elaborate further guidance on funding for the national adaptation plans at its eighteenth session, with a view to considering the relevant decisions on funding under the Convention[, including on the Green Climate Fund][and any other decision of the Conference of the Parties on long-term finance];]

28.

Option 1:

*[Encourages* regional organizations and developing country Parties to work collaboratively in the preparation of national adaptation plans;]

Option 2:

*[Requests* the Adaptation Committee in accordance with its agreed functions, [upon request] to provide technical support and guidance to other interested developing country Parties, to employ the modalities formulated to support the process for developing and implementing national adaptation plans;]

28 bis. *Requests* the Global Environment Facility, as an operating entity of the financial mechanism of the Convention entrusted with the operation of the Special Climate Change Fund, to provide financial support for the national adaptation plan process to interested developing country Parties, in particular the least developed country Parties and the small island developing States in accordance with decisions 6/CP.7 and 7/CP.7;

29. (para number retained for consistency)

30. (para number retained for consistency)

## D. Reporting, monitoring and evaluation

31. *Requests* the *Subsidiary Body for Implementation*, with inputs from the *Adaptation Committee* and the Least Developed Countries Expert Group to [regularly ] [monitor and evaluate] [review] [the effectiveness of] the national adaptation plan process [in the least developed country Parties as well as to monitor and evaluate the needs of other developing country Parties in developing their national adaptation plans] [under the Convention in facilitating the efforts of the least developed country Parties and other developing country Parties in addressing the adaptation needs] of developing country Parties, including] through monitoring financial flows to support the implementation of adaptation actions[, and to consider the possibility of integrating independent assessments in this monitoring and evaluation process];

32. *Decides* to conduct a comprehensive review of the implementation of national adaptation plans at the twenty-second session of the Conference of the Parties, and every five years thereafter;]

33.

Option 1:

*Invites* Parties to provide information on progress made on national adaptation plans through national communications and other reports, on what measures they have undertaken to formulate and implement actions to ensure adequate adaptation to the adverse effects of climate change [to enable the *Subsidiary Body for Implementation/Adaptation Committee* to monitor and evaluate the national adaptation plan process];

Option 2:

[Invites Parties to continue to provide information through national communications and other reports on what measures they have undertaken to plan, prepare and implement actions to ensure adequate adaptation to the adverse effects of climate change and on support provided or received;]

34. *Invites* bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to inform the Conference of the Parties, through the secretariat, of their activities conducted to assist developing country Parties with their efforts to formulate and implement national adaptation plans];

35. *Decides* to assess the progress made in implementing this decision and to consider the adoption of further guidance on national adaptation plans, at [a future session][its nineteenth session][its eighteenth session];]

## E. Role of the secretariat

36. *Requests* the secretariat, consistent with Article 8 of the Convention, and subject to the availability of resources, to undertake the following tasks:

(a) To collect, process, compile and disseminate, in both printed and electronic formats, information needed by the Conference of the Parties or its subsidiary bodies to review the progress made on the implementation of actions under this process, drawing upon relevant information contained in:

- (i) National adaptation plans;
- (ii) National communications;
- (iii) Reports on the activities of the Least Developed Countries Expert Group;



- (iv) Reports from the Global Environment Facility and its agencies and other relevant agencies and organizations;
- (v) Reports of relevant Convention bodies;
- (vi) National adaptation programmes of action;
- (vii) Other relevant reports on adaptation activities in developing country Parties;
- (b) To provide reports to the Subsidiary Body for Implementation at the second session of each year on progress made on national adaptation plans;

37. *Requests* the secretariat to establish a database of internationally funded activities to support the national adaptation plan process;

38. *Requests* that the actions of the secretariat called for in this draft decision be undertaken subject to the availability of financial resources.

## Annex

### **Draft guidelines for the preparation of national adaptation plans by least developed country Parties**

#### **A. Introduction**

1. The national adaptation plan (NAP) process will enable least developed country Parties to formulate and implement national adaptation plans, building upon their experience in preparing and implementing national adaptation programmes of action, as a means of identifying medium- and long-term adaptation needs and of developing and implementing strategies and programmes to address those needs.

2. The NAP process will be a continuing and iterative process to enable the least developed countries to identify, implement and communicate their vulnerabilities and adaptation actions at the national and subnational levels, as well as with the multilateral process of the Convention. The elements and deliverables of this process will be undertaken at both the Convention and at the national level.

#### **B. Elements of national adaptation plans**

##### **1. Laying the groundwork and addressing gaps**

3. Developing country Parties are to identify and assess institutional arrangements, programmes, policies and the capacity for overall coordination and leadership.

4. Developing country Parties are to assess available information on climate change vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels.

##### **2. Preparation elements**

5. In developing NAPs, consideration should be given to the following:

- (a) Addressing the gaps and needs identified in laying the groundwork phase;
- (b) Undertaking comprehensive, iterative assessments of development needs and climate vulnerabilities;
- (c) Aligning with national and subnational development and sectoral priorities, respecting country-driven processes;
- (d) Participatory stakeholder consultations;
- (e) Communication, awareness-raising and education.

##### **3. Implementation strategies**

6. NAPs should:

- (a) Include a prioritization of work according to development needs and climate change vulnerability and risk;
- (b) Strengthen policy environments and regulatory frameworks;
- (c) Include training and coordination at the sectoral and subnational levels.

7. In implementing the NAP process:

(a) Developing country Parties should continue to identify their specific needs, options and priorities for adaptation to climate change on a country-driven basis, utilizing the services of national and, where appropriate, regional institutions wherever possible and effective, and continue to promote participatory and gender-sensitive approaches coordinated with their sustainable development objectives, policies, plans and programmes;

(b) Developed country Parties should cooperate with and provide support to assist the planning efforts of developing country Parties in a timely and coordinated manner, prioritizing the least developed countries (LDCs);

(c) Financial and technical resources should continue to be made available through the financial mechanism and through multilateral, bilateral and national agencies and the private sector, as appropriate, to assist developing country Parties, in particular the LDCs, in their planning efforts.

### **C. National review and updating**

8. A regular review and update of the NAP should be conducted, in order to address inefficiencies, incorporate the results of new assessments and emerging science and reflect lessons learned from adaptation efforts.

9. Developing country Parties, and in particular the LDCs, should strive to monitor and review the efforts undertaken and provide information on the progress made and the effectiveness of the national adaptation plan process in their national communications.

10. The Conference of the Parties will review the effectiveness of the NAP process in facilitating the efforts of developing country Parties, and in particular the LDCs, and decide on what further action may be required.

### **D. Reporting**

11. While the NAP process is continuous and iterative, with the various outputs of the different components of the overall process, a NAP document would be produced by developing country Parties every three years, in order to communicate plans and priorities for a given time period.

12. In addition, information on progress being made in addressing adaptation could be included in the national communications, for compilation and synthesis by the secretariat and relevant bodies.

### **E. Synergies**

13. Valuable experience, knowledge, expertise, and structures and mechanisms exist in some countries supported by various programmes and initiatives, including national efforts. The NAP process should build on and mobilize synergies with existing programmes and initiatives on all scales and at the Convention and national levels.

14. Possible programmes and initiatives which the NAP process may explore and in relation to which it may instigate synergies include the following:

(a) Relevant parallel processes under the Convention, such as national adaptation programmes of action, national communications and technology needs assessments;

(b) Relevant bodies and programmes under the Convention, including the Least Developed Countries Expert Group, the Consultative Group of Experts on National

Communications from Parties not included in Annex I to the Convention, the Technology Executive Committee and the Nairobi work programme on impacts, vulnerability and adaptation to climate change;

(c) Other programmes outside of the Convention process;

(d) Other multilateral frameworks, including the United Nations Convention to Combat Desertification, the Convention on Biological Diversity and the Hyogo Framework for Action;

(e) Intergovernmental bodies and processes, particularly those involved in mobilizing regional synergies;

(f) The Programme of Research on Climate Change Vulnerability, Impacts and Adaptation of the United Nations Environment Programme and its efforts to produce impact, vulnerability and adaptation assessment guidelines;

(g) Regional adaptation networks and partnerships with which to establish linkages in order to take advantage of established institutions and regional initiatives.

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