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GEF Council  
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Agenda Item 6

## RELATIONS WITH CONVENTIONS

Decisions of the Seventh Session of the Conference of the Parties to the UNFCCC  
on matters relating to the least developed countries

## VII. MATTERS RELATING TO THE LEAST DEVELOPED COUNTRIES

### A. Consultative group of experts on national communications from non-Annex I Parties

#### Decision --/CP.7

*The Conference of the Parties,*

*Recalling* the relevant provisions of the United Nations Framework Convention on Climate Change, in particular its Article 4, paragraphs 3 and 7, Article 10, paragraph 2 (a) and Article 12, paragraphs 1 and 5,

*Recalling also* its decisions on communications from Parties not included in Annex I to the Convention (non-Annex I Parties), in particular decisions 10/CP.2, 11/CP.2, 2/CP.4, 12/CP.4, 8/CP.5,

*Recognizing* that the preparation of national communications is a continuing process,

*Acknowledging* that the sharing of national, subregional and regional experiences is important in the process of improving the preparation of national communications by non-Annex I Parties,

*Noting* the importance of providing a forum for non-Annex I Parties, including the least developed countries, to share national, subregional and regional experiences in the preparation of national communications,

1. *Decides* that the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (non-Annex I Parties) shall have the objective of improving the preparation of national communications by non-Annex I Parties;

2. *Decides also* that, in accordance with paragraph 2 of the annex to decision --/CP.7 on the establishment of a least developed country (LDC) expert group, at least one member of the CGE from least developed countries and at least one member of the CGE from Annex II Parties shall also be members of the LDC expert group, in order to establish a link on issues related to adaptation;

3. *Decides further* that in addition to the mandate contained in the annex to decision 8/CP.5, it shall carry out the following:

(a) Identify and assess technical problems and constraints that have affected the preparation of initial national communications by non-Annex I Parties that have yet to complete them, and make recommendations for consideration by the subsidiary bodies;

(b) Provide input to the draft improved guidelines for the preparation of national communications of non-Annex I Parties referred to in paragraph 1 (b) of decision --/CP.7;

4. *Decides* that the Consultative Group of Experts shall conduct two workshops in the year 2002, assuming the availability of funds, with the objective of sharing experiences to ensure adequate coverage of the issues described in paragraph 3 above; experts and/or resource persons for these workshops will be drawn from the roster of experts of the UNFCCC secretariat, taking into account geographical balance and limited to 40 persons from non-Annex I Parties;

5. *Decides also* that in the year 2002, and to the extent possible, the secretariat will organize a meeting of the CGE, back-to-back with a meeting of the LDC expert group, in order to ensure an exchange of views;

6. *Decides also* that the mandate and terms of reference of the Consultative Group of Experts shall be reviewed at the eighth session of the Conference of the Parties.

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**B. Guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the least developed countries fund**

**Decision -/CP.7**

*The Conference of the Parties,*

*Recognizing* the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

1. *Decides* to adopt the following initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Least Developed Countries Fund (LDC fund), established under decisions -/CP.7 (*Implementation of Article 4.8 and 4.9 of the Convention*) and -/CP.7 (*Funding under the Convention*), to support the work programme for the least developed countries, including, *inter alia*, the preparation and implementation of national adaptation programmes of action (NAPAs) referred to in paragraph 11 of decision -/CP.7 (*Implementation of Article 4.8 and 4.9 of the Convention*). The operating entity is requested:

(a) As a first step, to provide funding from the LDC fund to meet the agreed full cost of preparing the NAPAs, given that the preparation of NAPAs will help to build capacity for the preparation of national communications under Article 12, paragraph 1, of the Convention;

(b) To ensure complementarity of funding between the LDC fund and other funds with which the operating entity is entrusted;

(c) To ensure separation of the LDC fund from other funds with which the operating entity is entrusted;

(d) To adopt simplified procedures and arrange for expedited access to the fund by the least developed countries, while ensuring sound financial management;

(e) To ensure transparency in all steps relating to the operation of the fund;

(f) To encourage the use of national and, where appropriate, regional experts;

(g) To adopt streamlined procedures for the operation of the fund;

2. *Requests* the entity referred to in paragraph 1 above to include in its report to the Conferences of the Parties the specific steps it has undertaken to implement the provisions of this decision;

3. *Decides* to consider and adopt further guidance to the entity referred to in paragraph 1 above, on the operation of the LDC fund, at its eighth session.

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**C. Establishment of a least developed countries expert group**

**Decision -/CP.7**

*The Conference of the Parties,*

*Recalling* its decision -/CP.7,

*Recognizing* the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

*Recalling* the provisions of paragraph 20 of its decision -/CP.7, in which, *inter alia*, it decides that, at its seventh session, consideration should be given to the establishment of a least developed countries expert group, including its terms of reference, taking into account geographical balance,

1. *Decides* to establish a least developed countries expert group, pursuant to the terms of reference included in the annex to this decision;
2. *Decides also* that, taking into account the unique circumstances of the least developed countries, the establishment of the group referred to in paragraph 1 above does not set a precedent for the establishment of similar groups for other categories of countries;
3. *Requests* the secretariat to facilitate the work of the least developed countries expert group in accordance with the terms of reference included in the annex to this decision;
4. *Decides* to review, at its ninth session, the progress, need for continuation and terms of reference of the group, including the duration of the term of office of its members, and to adopt a decision thereon, taking into account the implementation needs identified in completed national adaptation programmes of action, as well as the experience of least developed country Parties which have started implementing their national adaptation programmes of action.

ANNEX

**Terms of reference of the least developed countries expert group**

1. The objective of the least developed countries expert group is to advise on the preparation and implementation strategy for national adaptation programmes of action (NAPAs), which would meet the urgent and immediate adaptation needs of the least developed countries (LDCs). This includes the provision of technical advice relating to the identification of relevant data and information to be synthesized as part of integrated assessment. The expert group will also provide advice on capacity-building needs for LDCs in support of the preparation and implementation of NAPAs. The expert group will coordinate and collaborate with other relevant efforts relating to adaptation activities for LDCs, including within the greater development context. The expert group will not be directly involved in the execution of identified activities and projects.
2. The group shall consist of 12 experts having recognized competence and appropriate expertise to assist in the development of NAPAs. The group shall consist of five experts from African LDC Parties, two experts from Asian LDC Parties, two experts from small island developing States which are LDC Parties, and three experts from Annex II Parties. At least one selected LDC expert and at least one selected expert from Annex II Parties shall also be a member of the Consultative Group of Experts on National Communications from Parties not included in Annex I, in order to establish a link on issues relating to adaptation. The experts will be selected by the Parties from their respective regions or groups, and shall have expertise in vulnerability and adaptation assessment. The group may draw upon additional expertise as deemed necessary.
3. The expert group shall conduct its work until the ninth session of the Conference of the Parties, subject to a decision by the Conference of the Parties pursuant to paragraph 4 of this decision.
4. Members of the group shall serve in their personal capacity and shall have no pecuniary or financial interest in the issues under consideration by the group.
5. The group shall elect annually a chairperson, a vice-chairperson and two rapporteurs from amongst its LDC members.
6. The chairperson, or a representative of the expert group, shall attend meetings of the subsidiary bodies and the Conferences of the Parties.
7. The group shall convene twice each year, as appropriate and, if possible, the secretariat will organize one meeting in 2002 of the expert group back-to-back with the Consultative Group of Experts on National Communications from Parties not included in Annex I, in order to ensure an exchange of views.
8. The group shall report on its work and shall propose a programme of work for the remainder of its term, for consideration at the sixteenth session of the Subsidiary Body for Implementation, and shall report on its work to the Subsidiary Body for Implementation at its eighteenth and nineteenth sessions.

9. The group shall be mandated as follows:
- (a) To provide technical guidance and advice on the preparation and on the 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 serve in an advisory capacity to the LDCs, for the preparation and strategy for implementation of NAPAs through, *inter alia*, workshops, upon request by LDC Parties;
  - (c) 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 Global Environment Facility and other relevant capacity-building initiatives;
  - (d) To facilitate the exchange of information and to promote regional synergies, and synergies with other multilateral environmental conventions, in the preparation and in the implementation strategy of NAPAs;
  - (e) To advise on the mainstreaming of NAPAs into regular development planning in the context of national strategies for sustainable development.
10. The group shall also be mandated to provide input into the review, and if necessary revision, of NAPA guidelines at the eighth session of the Conference of the Parties.
11. The secretariat shall support the implementation of the above-mentioned activities and facilitate the preparation of the group's relevant reports, which will be made available to the Parties for consideration at subsequent sessions of the subsidiary bodies.

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**D. Guidelines for the preparation of national adaptation programmes of action**

**Decision -/CP.7**

*The Conference of the Parties,*

*Recognizing* the specific needs and special situations of the least developed countries referred to in Article 4, paragraph 9, of the Convention,

*Recognizing further* that many of the least developed country Parties do not have the capacity to prepare and submit national communications in the foreseeable future, or to convey their urgent and immediate needs in respect of their vulnerability and adaptation to the adverse effects of climate change,

*Recognizing also* that information contained in national adaptation programmes of action may constitute the first step in the preparation of initial national communications, and would help to build capacity for addressing urgent and immediate adaptation needs, as well as for the preparation of national communications;

1. *Decides* to adopt the guidelines for the preparation of national adaptation programmes of action included in the annex to this decision;
2. *Invites* Parties to make submissions with a view to improving the guidelines, by 15 July 2002, for consideration by the Subsidiary Body for Implementation at its seventeenth session;
3. *Decides* to review, and if necessary revise, the guidelines at its eighth session, taking into account the views submitted by Parties and the least developed countries expert group;
4. *Invites* least developed country Parties to use the above-mentioned guidelines, in accordance with their national circumstances, in preparing their national adaptation programmes of action.



## ANNEX

### Guidelines for the preparation of national adaptation programmes of action

#### I. Introduction

1. National adaptation programmes of action (NAPAs) will communicate priority activities<sup>1</sup> addressing the urgent and immediate needs and concerns of the least developed countries (LDCs), relating to adaptation to the adverse effects of climate change.
2. The rationale for developing NAPAs rests on the low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change. Activities proposed through NAPAs would be those whose further delay could increase vulnerability, or lead to increased costs at a later stage.
3. The NAPA will be presented in the form of a document specifying a list of priority activities, with a concise justification based on a tight set of criteria.
4. The NAPA document will not be an end in itself, but rather a means for the dissemination, by an LDC Party, of its proposed programme of action to address its urgent needs for adaptation. The priority activities identified through the NAPA process will be made available to the entity that will operate the LDC fund referred to in decision -/CP.7, paragraph 6, and other sources of funding, for the provision of financial resources to implement these activities.

#### II. Objective of NAPAs

5. NAPAs will serve as simplified and direct channels of communication for information relating to the urgent and immediate adaptation needs of the LDCs.

#### III. Characteristics of NAPAs

6. NAPAs should:
  - (a) Be easy to understand;
  - (b) Be action-oriented and country driven;
  - (c) Set clear priorities for urgent and immediate adaptation activities as identified by the countries.

#### IV. Guiding elements

7. The preparation of NAPAs will be guided by the following:
  - (a) A participatory process involving stakeholders, particularly local communities;

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<sup>1</sup> For the purposes of this document, activities should include, *inter alia*, projects, integration into other activities, capacity building and policy reform.

- (b) A multidisciplinary approach;
- (c) A complementary approach, building upon existing plans and programmes, including national action plans under the Convention to Combat Desertification, national biodiversity strategies and action plans under the Convention on Biodiversity, and national sectoral policies;
- (d) Sustainable development;
- (e) Gender equality;
- (f) A country-driven approach;
- (g) Sound environmental management;
- (h) Cost-effectiveness;
- (i) Simplicity;
- (j) Flexibility of procedures based on individual country circumstances.

#### V. Process

8. The preparation of the NAPA may proceed as follows:

(a) The setting up of a national NAPA team: the national climate change focal point will set up a NAPA team composed of a lead agency and representatives of stakeholders including government agencies and civil society. This group would be constituted using an open and flexible process that will be inclusive and transparent. The NAPA team will be responsible for preparing the NAPA and coordinating the implementation of NAPA activities;

(b) The NAPA team will assemble a multidisciplinary team:

- (i) To synthesize available information on adverse effects of climate change and coping strategies, which would be collated and reviewed, including the national strategies for sustainable development, the Programme of Action for the Least Developed Countries, the United Nations development assistance frameworks, and poverty reduction strategy papers, if available in the countries;
- (ii) To conduct a participatory assessment of vulnerability to current climate variability and extreme weather events, and to assess where climate change is causing increases in associated risks;
- (iii) To identify key climate-change adaptation measures, based, to the extent possible, on vulnerability and adaptation assessment; such measures would also be responsive to needs identified under other relevant processes, such as the preparation of national action plans under the Convention to Combat Desertification and national biodiversity strategies and action plans under the Convention on Biodiversity;

- (iv) To identify and prioritize country-driven criteria for selecting priority activities to address needs arising from the adverse effects of climate change, drawing on the criteria referred to in section VI (D) below.
- (c) Development of proposals for priority activities to address needs arising from the adverse effects of climate change: the national team will:
- (i) Organize a national and/or subnational consultative process to solicit inputs and proposal ideas in order to help develop a short list of potential NAPA activities. The national team would facilitate this consultative process, and would help in translating ideas into activities. This process will allow adequate dialogue between the national team and the public, with time allowed for public comment and revisions;
  - (ii) Identify potential activities, which may include capacity-building and policy reform, and which may be integrated into sectoral and other policies;
  - (iii) Select and identify priority activities, based on the agreed criteria;
  - (iv) Propose profiles of priority activities using the following format:
    - Title
    - Rationale/justification, in relation to climate change, including sectors concerned
    - Description
      - Objectives and activities
      - Inputs
      - Short-term outputs
      - Potential long-term outcomes
    - Implementation
      - Institutional arrangement
      - Risks and barriers
      - Evaluation and monitoring
      - Financial resources
- (d) The development of the NAPA document: the document will be prepared following the structure set out in section VI below;
- (e) Public review and revision: the NAPA document will undergo public review and be revised accordingly;
- (f) The final review process: the NAPA document, including the profiles, will be reviewed by a team of government and civil society representatives, including the private sector, who may take into consideration any advice solicited from the Least Developed Countries Expert Group;

(g) National government endorsement of the NAPA: after the NAPA has been prepared, it will be submitted to the national government for endorsement.

(h) Public dissemination: the endorsed NAPA document will be made available to the public and to the UNFCCC secretariat.

## VI. Structure of NAPA document

### A. Introduction and setting

9. This introductory section will include background information about the country, that is relevant to the NAPA process. It will cover current characteristics, key environmental stresses, and how climate change and climate variability adversely affect biophysical processes and key sectors.

### B. Framework for adaptation programme

10. This section will also provide an overview of climate variability and observed and projected climate change and associated actual and potential adverse effects of climate change. This overview will be based on existing and ongoing studies and research, and/or empirical and historical information as well as traditional knowledge.

11. This section will describe the NAPA framework and its relationship to the country's development goals, as described in paragraph 8 (b) (i), to make the framework consistent with socio-economic and development needs. In addition, it would also describe the goals, objectives and strategies of the NAPA, taking into account other plans and multilateral environmental agreements.

12. Where possible, a description of the potential barriers to implementation should also be included.

### C. Identification of key adaptation needs

13. Based on this overview and framework, past and current practices for adaptation to climate change and climate variability will be identified as related to existing information regarding the country's vulnerability to the adverse effects of climate change, climate variability and extreme weather events, as well as long-term climate change. This section will explain how and to what extent activities may address specific vulnerabilities.

14. Given the actual and potential adverse effects of climate change described in section VI (B) above, this section will identify relevant adaptation options including capacity-building, policy reform, integration into sectoral policies and project-level activities.

### D. Criteria for selecting priority activities

15. A set of locally-driven criteria will be used to select priority adaptation activities. These criteria should include, *inter alia*:

- (a) Level or degree of adverse effects of climate change;

- (b) Poverty reduction to enhance adaptive capacity;
  - (c) Synergy with other multilateral environmental agreements;
  - (d) Cost-effectiveness.
16. These criteria for prioritization will be applied to, *inter alia*:
- (a) Loss of life and livelihood;
  - (b) Human health;
  - (c) Food security and agriculture;
  - (d) Water availability, quality and accessibility;
  - (e) Essential infrastructure;
  - (f) Cultural heritage;
  - (g) Biological diversity;
  - (h) Land use management and forestry;
  - (i) Other environmental amenities;
  - (j) Coastal zones, and associated loss of land.

E. List of priority activities

17. This section will list priority climate-change adaptation activities that have been selected based on the criteria listed in section VI (D) above.

18. For each of the selected priority activities a set of profiles will be developed for inclusion in the NAPA document. This could follow the format set out in paragraph 8 (c) (iv) above.

F. NAPA preparation process

19. This section will describe the NAPA development process, including the process of consultation, the methods for evaluation and monitoring, the institutional arrangements, and the mechanism of endorsement by the national government.

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