

National Adaptation Plan (NAP) country-level training



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NAP-GSP
NATIONAL ADAPTATION PLAN GLOBAL SUPPORT PROGRAMME



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The training course and associated materials are based on the Technical Guidelines 'National Adaptation Plans', published by UNFCCC / LDC Expert Group in December 2012. The training course was generously funded by the **German Federal Ministry for Economic Cooperation and Development (BMZ)** and developed by the **Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH** in close cooperation with UNFCCC/LEG and NAP-GSP. The authors gratefully acknowledge the valuable feedback contributed by reviewers and training participants.

GIZ's Climate Policy Support Programme aims at developing and mainstreaming innovative approaches to tackle the challenges of climate change in the context of German Development Cooperation. On behalf of BMZ, it supports developing countries in their efforts to mitigate climate change and to adapt efficiently to its impacts.

In the pursuit of this goal, the Climate Policy Support Programme advises and supports BMZ in the realm of the international climate negotiations, gives technical advice in matters of climate change mitigation, adaptation and climate finance, and implements practical solutions through pilot projects in developing countries. Collaborating with national and international partners, its work builds on networks of development cooperation and contributes with innovative approaches to global climate change research and practical implementation experience.

Through these conceptual and practical activities, the Climate Policy Support Programme actively contributes to the implementation of the Paris Agreement and the UN Sustainable Development Goals.

Have you carried out or participated in the training? If yes, we would appreciate hearing from you! Please send your feedback (Who organised the training? Who participated in the training? How did you find it? What worked and what did not?) to climate@giz.de.

Content

Part I: Introduction to the course	1
Background	1
Objectives of the training	2
Target group	2
Structure of the training	3
Duration of the training	3
Tailoring the training structure	3
Formats for tailoring of the training to concrete conditions of application	7
Adjusting modules to the concrete country context	9
Top ten tips for tailoring training structure and modules	12
Training methodology	13
Training package	14
Training as part of capacity development for NAP	15 14
Part II: Module-wise instructions	17 16
Module I.1: Essentials of adaptation to climate change	17 16
Learning objectives of the module	17 16
How to tailor the module to the country context	18 17
Material needed	18 17
Duration	18 17
Module I.2: Conceptual understanding of the NAP process	20 19
Learning objectives of the module	20 19
How to tailor the module to the country context	20 19
Material needed	20 19
Duration	20 19
Module I.3: Process overview on NAP	22 21
Learning objectives of the module	22 21
How to tailor the module to the country context	23 22
Material needed	23 22
Duration	23 22
Module I.4: NAP Chat	26 25
Learning objectives of the module	26 25
How to tailor the module to the country context	26 25
Material needed	26 25
Duration	27 26
Module I.5: Getting to Yes: Negotiating agreement without giving in	28 27
Learning objective of the Module	28 27
How to tailor the module to the country context	28 27

Material needed	2928
Duration.....	2928
Module I.6: Gender and NAP.....	Error! Bookmark not defined.30
Learning objectives of the module.....	Error! Bookmark not defined.30
Context.....	Error! Bookmark not defined.30
Instruction for the exercise.....	Error! Bookmark not defined.30
Module II.1: Stocktaking.....	383234
Learning objectives of the module.....	383234
How to tailor the module to the country context.....	383234
Material needed	383234
Duration.....	383234
Module II.2: Institutions for National Adaptation Planning	413534
Learning objectives of the module.....	413534
How to tailor the module to the country context.....	413534
Material needed	423635
Duration.....	423635
Module III.1: Climate information for risk & vulnerability assessments.....	453938
Learning objectives of the module.....	453938
How to tailor the module to the country context.....	453938
Material needed	453938
Duration.....	464039
Module III.2: Develop and select adaptation options	524544
Learning objectives of the module.....	524544
How to tailor the module to the country context.....	524544
Material needed	534645
Duration.....	534645
Module III.3: Appraising adaptation options	564948
Learning objectives of the module.....	564948
How to tailor the module to the country context.....	564948
Material needed	564948
Duration.....	575049
Module III.4: Mainstream adaptation into development planning	615352
Learning objectives of the module.....	615352
How to tailor the module to the country context.....	615352
Material needed	625453
Duration.....	625453
Module IV.1: Developing capacities for National Adaptation Planning.....	645655

Learning objectives of the module.....	<u>645655</u>
How to tailor the module to the country context.....	<u>645655</u>
Material needed.....	<u>645655</u>
Duration.....	<u>645655</u>
Module IV.2: Financing adaptation	<u>665857</u>
Learning objective of the module.....	<u>665857</u>
How to tailor the module to the country context.....	<u>665857</u>
Material needed.....	<u>675958</u>
Duration.....	<u>675958</u>
Module IV.3: NAP implementation.....	<u>706264</u>
Learning objective of the module.....	<u>706264</u>
How to tailor the module to the country context.....	<u>706264</u>
Material needed.....	<u>706264</u>
Duration.....	<u>706264</u>
Module V.1: M&E of climate change adaptation in the NAP process.....	<u>726463</u>
Learning objectives of the module.....	<u>726463</u>
M&E supplement to the Technical Guidelines	<u>726463</u>
How to tailor the module to the country context.....	<u>726463</u>
Material needed.....	<u>736564</u>
Duration.....	<u>736564</u>
Module V.2: NAP as a living document	<u>766867</u>
Learning objectives of the module.....	<u>766867</u>
How to tailor the module to the country context.....	<u>766867</u>
Material needed.....	<u>766867</u>
Duration.....	<u>766867</u>
Module VI.1: Roadmap development	<u>787069</u>
Learning objectives of the module.....	<u>787069</u>
How to tailor the module to the country context.....	<u>797170</u>
Material needed.....	<u>797170</u>
Duration.....	<u>797170</u>
Module VI.2: Transfer into daily work	<u>827473</u>
Learning objectives of the module.....	<u>827473</u>
How to tailor the module to the country context.....	<u>827473</u>
Material needed.....	<u>827473</u>
Duration.....	<u>827574</u>
Part III: General instructions for successful adult learning and for methods applied	<u>867876</u>
In a nutshell: Tips and hints for interactive trainings	<u>867876</u>
How adults learn	<u>877977</u>
What we remember.....	<u>888078</u>

Roles and skills of a trainer.....	<u>898479</u>
Dealing with difficult situations.....	<u>908280</u>
Questions: key to unlocking new doors.....	<u>918381</u>
Active Listening - five key elements	<u>928482</u>
Socratic method.....	<u>938583</u>
Harvard Case Method.....	<u>938583</u>
Action learning exercises.....	<u>958785</u>
Whisper groups.....	<u>958886</u>
Instructions for presentations in the course	<u>968886</u>
Concepts of visualization	<u>968987</u>
Materials needed for interactive trainings.....	<u>978987</u>
Room arrangement: different settings and formats.....	<u>999189</u>
Opening a training.....	<u>1009290</u>
Evaluating a training course	<u>1019391</u>
Evaluating learning success: Pre and post self-assessment for NAP training.....	<u>1049694</u>
Annex: Examples of tailored modules	<u>1079997</u>

Abbreviations

AF	Adaptation Fund
AR4	Fourth Assessment Report (IPCC)
AR5	Fifth Assessment Report (IPCC)
CBA	Cost-benefit analysis
CC	Climate change
CCA	Climate change adaptation
COP	Conference of the Parties (UNFCCC)
CPEIR	Climate Public Expenditures and Institutional Review
GCF	Green Climate Fund
GEF	Global Environment Facility
HCM	Harvard Case Method
IPCC	Intergovernmental Panel on Climate Change
LDC	Least Developed Country
LDCF	Least Developed Country Fund
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
NAP	National Adaptation Plan
NAPA	National adaptation programme of action
NAP-GSP	National Adaptation Plan Global Support Programme
NCCTF	National Climate Change Trust Fund
NDP	National Development Plan
NGO	Non-governmental organization
OECD	Organisation for Economic Cooperation and Development
OLO	Overall learning objective
PPCR	Pilot Program for Climate Resilience
SNAP	Stocktaking for NAP
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research

Part I: Introduction to the course

Background

The National Adaptation Plan (NAP) process was established in 2010 as part of the Cancun Adaptation Framework to complement the existing short-term orientation of National Adaptation Programmes of Action (NAPAs). The NAP process is designed to support all developing countries, especially the least developed countries (LDCs), in satisfying their medium- and long-term adaptation needs. It is meant to reduce vulnerability, build adaptive capacity and mainstream adaptation into all sector-specific and general development planning.

At the United Nations Framework Convention on Climate Change (UNFCCC) Conference of Parties (COP 17) in Durban in December 2011, bilateral and multilateral agencies were invited to support the NAP process and to establish support programmes. This support can take the shape of, inter alia, technical guidelines, workshops, trainings and regional exchange. The Least Developed Countries Expert Group (LEG) has published the NAP Technical Guidelines, which specify the process from laying the groundwork for a NAP process to monitoring its implementation.

In response to this, the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ) has started its NAP process support in 2012 by developing approaches and tools for operationalizing the LEG Technical Guidelines and by initiating support for the NAP process in partner countries. Even before the NAP process was introduced, GIZ developed a practice-oriented training based on the Organisation for Economic Cooperation and Development (OECD) policy guidance “Integrating climate change adaptation into development planning”¹, which might be useful as an additional resource for trainers. GIZ has also developed the “Orientations for aligning National Adaptation Plan (NAP) processes to development and budget planning (NAP Align)”. This document helps to analyse NAP-related planning and budgeting procedures and elaborates the inter-linkages between the two areas and their respective institutional arrangements. In addition, GIZ has developed a tool that provides a snapshot of current planning capacities available in a country: The Stocktaking for National Adaptation Planning (SNAP) tool identifies adaptation capacities and needs based on seven success factors that are derived from the LEG Technical Guidelines and GIZ’s experiences in adaptation. The result of this assessment serves as a point of departure for initiating the NAP process and for developing a roadmap with concrete steps and activities.

As a further contribution, GIZ supported the development of a country-level training on NAP processes, which resulted in this training course². The development of the training took place in close cooperation with the National Adaptation Plan Global Support Programme (NAP-GSP) and with United Nations Institute for Training and Research (UNITAR) and was aligned with the activities of the LEG.

¹ <http://www.oecd.org/dac/environment-development/integratingclimatechangeadaptationintodevelopmentplanningapractice-orientedtrainingbasedontheoecdpolicyguidance.htm>

² The concept of the training was originally developed by Till Below (till.below@giz.de) and Nele Bünner (nele.buenner@giz.de).

The Least Developed Country Fund (LDCF)-financed joint United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP) NAP-Global Support Programme, initiated in 2013, responds directly to the decision from COP 17 inviting agencies to support countries in their NAP processes. The NAP-GSP's main objective is to assist LDCs with regional and national technical support, institutional support and knowledge exchange. As part of its work programme, the NAP-GSP is engaged in providing NAP training and capacity building opportunities on a regional level in Asia, Africa and the Pacific to country teams composed of ministries of environment, finance and planning. A country-specific component includes support to governments to initiate the NAP process by supporting activities such stocktaking of the institutional frameworks and relevant adaptation activities related to the NAP, as well as national consultations and training in-country to enhance the understanding of the NAP process and to provide tools to advance the NAP process at the country-level. The support provided by UNDP and UNEP through the NAP-GSP draws from over 20 years of experience and technical expertise in assisting countries, especially LDCs, to foster an enabling environment for pursuing sustainable climate resilient development and making sure that adaptation measures are environmentally sound and sustainable in the long term. The NAP-GSP is a support programme that builds on synergies and leverages expertise and resources from its eight partners and collaborators, of which GIZ is a part.

It is within this framework that the NAP-GSP, in particular UNDP and UNITAR, have cooperated with GIZ to develop this training course as part of the country-specific component. The three agencies used their respective expertise and experience in climate change adaptation, policy and institutional support, economics of adaptation, as well as capacity building to provide input into the elements of the training package and its methodology.

Objectives of the training

The main goals of the training are defined as follows:

- Improve understanding and raise awareness for NAP process.
- Strengthen the capacities of country teams to realize key NAP tasks.
- Familiarize with NAP elements, guidelines, support channels and links to other national processes.

In line with this goal definition, the training will strengthen overall sensitization and orientation for the NAP process and provide specific knowledge on necessary framework conditions and selected key tasks. It will not convey detailed technical skills for all steps and tasks connected with NAP development and implementation.

Target group

Target group for the course include:

- Decision-makers and politicians confronted with the overall launch and steering of the NAP process;
- Experts and officials involved in tasks of planning and implementation of the NAP process from sectors and institutions focusing on planning, financing, environment, infrastructure development, economic development, agriculture, meteorology and many others;

- Non-governmental organizations (NGOs) and stakeholder groups potentially involved in the NAP process;
- If applicable, technical experts from government entities responsible for capacity development of administrative staff.

The training does not focus on participants from environmental / climate change institutions only but also from sector ministries and ministries with coordinating power as mentioned above. Since the NAP process is especially relevant for LCDs, the target groups will mainly come from these countries.

An optimal size for training classes would be around 20 to 25 participants. Larger groups would not allow effective application of the interactive training methods (see below). If larger target groups have to be coped with, it is recommended to conduct several trainings.

Structure of the training

The comparably diverging target groups addressed by the training advocate a flexible structure, which allows tailoring the training elements to the concrete target group of a specific training event. This can be achieved through a structure based on modules which can be selected and composed in different ways and allow trainings of different duration (see below). Trainings for high-level decision-makers would comprise only modules on general strategic understanding and process orientation, whereas technical experts, e.g. from sector ministries, would be also involved into more detailed issues of NAP elaboration.

Duration of the training

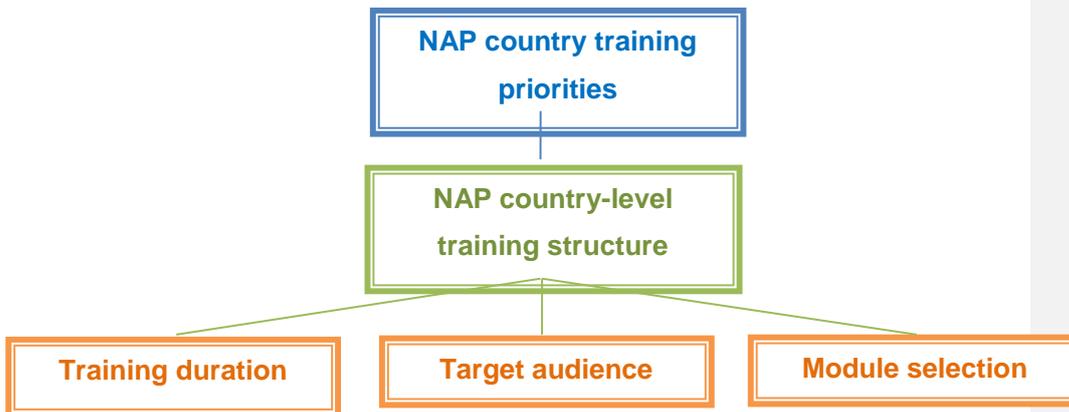
The flexible structure implies that the training duration is flexible ranging from ½ day for high-level decision-makers up to five days for technical experts.

Tailoring the training structure

The training can be used at a country's request to reach different national adaptation planning objectives which are established by the NAP focal points and key stakeholders at country-level. One of the first steps under Element A – Lay the Groundwork and Address the Gaps – of the NAP Technical Guidelines (LEG, 2012) is to identify the technical skills required to launch and sustain the NAP process in the medium and long-term. Training and long-term technical education should therefore contribute to the overall national adaptation planning process. These sustained efforts are built and carried out around capacity building targets or priorities, identified by a mix of assessment tools (e.g. the SNAP) and stakeholder consultations.

NAP country training priorities come to define the overall structure of the training which in turn is composed by: 1) the duration of the event; 2) the target audience and 3) the combination and arrangement of training modules. For example, if a country training priority is to strengthen the capacity to mapping climate change risks and vulnerabilities, the training activity will mainly target the national thematic experts (e.g. in the area of meteorological services, disaster risk reduction or risk and vulnerability assessment) and it will focus on the specific training modules about risk and vulnerability assessment, appraisal of adaptation options, etc. for a variable duration of 2 to 4 days. A general model is described in Figure 1.

Figure 1 – Main elements in the NAP-country-level training tailoring process



(Source: own elaboration)

Under this model, prior to a training, the trainer should compose the agenda out of the existing modules and discuss it with NAP country focal points. In doing so, he / she will primarily reflect on the:

- Time availability and training duration;
- Target group/audience, including level of existing knowledge and language;
- Specific framework conditions in the country of application (e.g. thematic issues of particular relevance) for modules selection.

There are also certain flexibilities for sequencing the modules in a particular training. The NAP Chat and movies such as 'We know enough about climate change – it is time for decisions now'³ developed by GIZ or UNITAR's film on NAP-GSP⁴ and the NAP Case Studies⁵ might be placed whenever the trainer feels appropriate, preferably towards the beginning of the training to support general sensitization.

Table 1 lists the estimated time required for each module, including estimated durations of the different activities within each module. The estimated durations do not include time for "simultaneous" translation.

³ Animated film. Length: 5'42". The film is available in 12 languages: Arabic; Tunisian Arabic; Bengali; English; French; German; Hindi; Indonesian; Mongolian; Portuguese, Spanish; Tagalog; Tamil: <https://www.pik-potsdam.de/research/climate-impacts-and-vulnerabilities/research/research-field-2-NSP/ccd/films-and-clips/download-we-know-enough> .

⁴ <http://www.undp-alm.org/resources/videos/new-nap-gsp-film-supporting-ldcs-advance-naps>

⁵ <http://www.uncelearn.org/NAP-Casestudies/Malawi/story.html>
<http://www.uncelearn.org/NAP-Casestudies/Niger/story.html>
<http://www.uncelearn.org/NAP-Casestudies/Cambodia/story.html>

Table 1: Overview of module durations

Module	Activity	Time required (min.)
I.1 Essentials of adaptation to climate change	Presentation	15
	Exercise	5
	Discussion	30
	Total	50
I.2 Conceptual understanding of NAP process	Presentation	25
	Exercise	40
	Discussion	40
	Total	105
I.3 Process overview on NAP	Presentation	25
	Part A exercise	35
	Part A discussion	35
	Part B exercise	25
	Part B discussion	10
	Total	130
I.4 NAP Chat	Presentation	5
	Exercise	15
	Discussion	10
	Total	30
I.5 Getting to Yes: Negotiating agreement without giving in	Presentation	20
	Exercise	40
	Discussion	30
	Total	90
<u>1.6 Gender and NAP</u>	<u>Presentation</u>	<u>30</u>
	<u>Exercise</u>	<u>60</u>
	<u>Discussion</u>	<u>30</u>
	<u>Total</u>	<u>120</u>
II.1 Element A: Stocktaking	Presentation	15
	Exercise	30
	Discussion	35
	Total	80
II.2 Element A: Institutions for National Adaptation Planning	Presentation	20
	Part A exercise	25
	Part A discussion	25
	Part B exercise	40
	Part B discussion	30
	Part C exercise	30
	Part C discussion	30
	Total	200
III.1 Element B: Climate information for risk & vulnerability assessments	Presentation	20
	Part A exercise	20
	Part A discussion	0
	Part B presentation	10

	Part B exercise	30
	Part B discussion	40
	Total	120
III.2 Element B: Develop and select adaptation options	Presentation	25
	Exercise	30
	Discussion	30
	Total	85
III.3 Element B: Appraising adaptation options	Presentation	25
	Exercise	20
	Discussion	25
	Total	70
III.4 Element B: Mainstream adaptation into development planning	Presentation	25
	Exercise	50
	Discussion	35
	Total	110
IV.1 Element C: Developing capacities for National Adaptation Planning	Presentation	20
	Exercise	35
	Discussion	35
	Total	90
IV.2 Element C: Financing adaptation	Presentation	15
	Exercise	45
	Discussion	30
	Total	90
IV.3 Element D: NAP Implementation	Presentation	20
	Exercise	40
	Discussion	30
	Total	90
V.1 Element D: Monitoring and evaluation (M&E) of climate change adaptation (CCA) in the NAP process	Presentation	25
	Step 1 exercise	25
	Step 1 discussion	25
	Step 2 exercise	30
	Step 2 discussion	30
	Total	135
V.2 Element D: NAP as a living document	Presentation	15
	Exercise	15
	Discussion	25
	Total	55
VI.1 Roadmap development	Presentation	25
	Exercise 1	60
	Exercise 2	30
	Discussion	45
	Total	160
VI.2 Transfer into daily work	Presentation	15
	Exercise 1	65
	Discussion	10
	Exercise 2	30

	Discussion	15
	Total	135

The practical application of the training in the course of 2015 allowed the identification of specific combinations of country priorities and training structures, including training duration, target audiences and module selections. Below we provide a set of three exemplary options. Please note that these options do not include all modules from table 1. The training options are based on concrete NAP country training experiences and should be taken into account with a degree of flexibility since they can be adjusted and combined with each other.

Formats for tailoring of the training to concrete conditions of application

Option 1: Improve understanding and raise awareness for the NAP process

In several countries (e.g. Mauritania, Honduras and Djibouti), the NAP training course has been deployed in conjunction with high-level NAP launching events, where decision-makers and politicians responsible for the overall steering of the NAP process conveyed to officially launch the planning process. In this case, the NAP training usually followed the official launching event and gathered sectoral experts and officials involved in sector planning, including planning, finance, environment, infrastructure development, economic development, agriculture, meteorology and many others. The objectives of this training modality are to facilitate the familiarization with NAP elements, guidelines, support channels and links to other national processes.

In option 1, the training duration usually varies from ½ day for a sensitization event targeted at high-level decision-makers to four days if the training targets also sectoral experts. Usually, the initial launch event involves many stakeholders (around 25-30 people). For the actual training activities, however, it is recommended to reduce the number of participants to 20-25. This specific training structure requires advanced timing and logistical planning, for example to include in the training agenda a longer break after the high-level session to clear the room and set up the space for the training activities.

The modules typically selected for sensitization and raising awareness are those that strengthen the conceptual and strategic understanding of the NAP process, providing a process orientation of the NAP elements and a detailed overview of steps and stakeholders.

Table A - Option 1

Country training priority	Target audience	Duration	Exemplary modules
Improve understanding and raise awareness for the NAP process	Decision-makers, politicians, sectoral experts	From ½ day to 4 days	I.1, I.2, I.3, <u>I.6</u> (Presentation only), II.2

Option 2: Stocktaking of existing NAP institutional mechanisms and stakeholders

The NAP training can be used to support an initial policy and institutional review to identify long-term capacity development needs, institutions and change agents for adaptation planning. The stocktaking-based trainings can also facilitate NAP stakeholder consultation and knowledge sharing activities due to the presence of numerous actors involved in the NAP process. This training structure capitalizes on specific modules that support the identification of the NAP process stakeholders, institutional mechanisms, adaptation planning capacity needs and gaps, and development of NAP roadmaps. This kind of training modality can for example be organized back-to-back to NAP stocktaking missions as those undertaken in Lesotho and The Gambia.

In this case, the training structure targets stakeholder groups (including NGOs and community groups) involved in the NAP process and technical experts from government entities in charge of capacity development, project and knowledge management. The training duration can vary from 2 to 4 days and should involve an average of 20-25 people.

Table B - Option 2

Country training priority	Target audience	Duration	Exemplary modules
Stocktaking of existing NAP institutional mechanisms and stakeholders	Technical and sectoral experts, NAP stakeholder groups	From 2 to 4 days	II.1, II.2, III.4, IV.1, VI.1 <u>(1.6 Modify presentation to focus on institutional mechanisms, stakeholders)</u>

Option 3: Strengthen the capacities of country teams to realize key NAP tasks

This option enables participants to utilise the learning stemming from the training exercises in their current and future adaptation planning work. The training modules that are of particular relevance for this structure focus on specific NAP tasks such as risk and vulnerability assessments, selection and appraisal of adaptation options, financing adaptation, NAP implementation and monitoring and evaluation.

Under this modality, the target audience may consist of experts and officials involved in sectoral planning. The training is not exclusively focused on participants from the environmental and climate change community, but also from sectors affected by climate change such as infrastructure, agriculture and coordinating ministries, such as planning and finance. Experiences from training delivery (e.g. Cambodia, Lesotho, Tajikistan) show that this specific structure can be easily coupled with one or two days training event on project concept and proposal development (under the Global Environmental Facility or Green Climate Fund) and resource mobilization.

The ideal duration of this training structure varies from 2 to 5 days. Alternatively, specific modules can be delivered in various one-day events over the course of several months. Given the specific objectives of this training modality usually a group of 20-25 participants is expected.

Table C - Option 3

Country training priority	Target audience	Duration	Exemplary modules
Strengthen the capacities of country teams to realize key NAP tasks	Technical and sectoral experts	From 2 to 5 days	I.5, 1.6 , III.1, III.2, III.3, IV.2, V.1, VI.2

Adjusting modules to the concrete country context

The NAP country-level training has been implemented in about 18 countries in the course of 2015 under the framework of the NAP-GSP. This training seeks to focus directly on the country of application because a NAP process is highly context specific. Many modules are designed in a way that they can be universally applied to different countries without changing the content. In other modules, the trainer has to adjust the content slightly to make them fully consistent with the country situation.

For these adjustments, the trainer should consult country-specific documents such as the UNFCCC National Communication, Intended Nationally Determined Contributions (INDCs), NAPAs, planning documents, adaptation strategies, etc. This Trainer's Handbook indicates for each module which adjustments are necessary and indicates how to do these adjustments. In addition, a centralized online database of tailored modules and exercises, translated material and training reports of NAP trainings is available on the [NAP-GSP UNDP Data Management System](#)⁶.

Table 2 specifies the documents and information sources of which the trainer can get help and indicates the contents to be drawn from each source. Enough time should be allocated for these adjustments, which should also be reflected in the trainers' Terms of Reference. The annex contains some concrete examples of how modules can be tailored to country context and priorities.

Table 2: Information sources for adjustments to country context

Information source and link / reference	Key contents	Relevant for module
Information on climate change and adaptation		
National Communications under UNFCCC http://unfccc.int/national_reports/non-annex_i_natcom/items/2979.php	Country documents on <ul style="list-style-type: none"> Key climate change impacts 	I.1 III.1 III.2 III.4

⁶ Access the material under:

<https://drive.google.com/drive/folders/0BwB1ETbuLQbNficzZC1GdWpYMkdFYWU3amdrcVBrRU1ES1VrblFEOE9PX1hfRWZISUJ4S1k>

	<ul style="list-style-type: none"> • Key risks and vulnerabilities • Sector wise impacts • Sector wise adaptation measures Provides country-wise compilation of many CCA related facts.	IV.2 V.1
Intended Nationally Determined Contributions (INDCs) under UNFCCC http://www4.unfccc.int/submissions/indc/Submission%20Pages/submissions.aspx	Country documents with varying degree of information on goals and adaptation plans and actions	III.1 III.2 III.4 IV.2 V.1
NAPA Priorities Database http://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/4583.php	<ul style="list-style-type: none"> • Country-wise list of adaptation activities and projects Provides hints for relevant adaptation measures in the respective country.	III.2 IV.2 V.1
Gender and Climate Change – Resources – Adaptation http://unfccc.int/gender_and_climate_change/items/9426.php	Case studies Best practices	1.6
ALM – Adaptation Learning Mechanism http://www.adaptationlearning.net/country-profiles	Country profiles on <ul style="list-style-type: none"> • Key vulnerabilities • Selected adaptation projects Provide hints for relevant adaptation measures.	III.1 III.2 IV.2 V.1
Climate Risk and Adaptation Country Profiles http://sdwebx.worldbank.org/climateportalb/home.cfm?page=country_profile	Country related data on <ul style="list-style-type: none"> • Climate, hazards, population • Vulnerability indicators • Country CCA documents • Existing knowledge platforms Provides broad interactive overview on	I.3 B III.1 III.4 V.1

	CCA related country data as well as links to relevant country platforms.	
Technology Needs Assessment (TNA) Reports http://unfccc.int/ttclear/templates/render cms page?TNR_cre	Country documents on <ul style="list-style-type: none"> • Climate change scenarios • Climate change impacts • Sector-wise analysis for practices and technologies as applied and needed. Provides good overview on sectors of relevance to CCA	III.2 III.4 IV.2
Specific country websites on climate change by the responsible key ministry (in many countries Ministry for Environment)	<ul style="list-style-type: none"> • Country profiles on climate change • Adaptation Plans and Documents 	I.1 II.2 III.1 III.2 III.4 IV.2 V.1
Information on national planning		
Specific country websites on national planning by the responsible key ministry (in many countries Ministry of Planning or Ministry of Finance)	<ul style="list-style-type: none"> • Development goals, strategies, and measures for the country and for specific sectors. Provides specific information on planning system and approaches in the country. Allows conclusions on entry-points for NAP.	I.3 B II.2 III.2 III.4
Webnet on Poverty Reduction Policy Papers (PRSP) http://web.worldbank.org/WBSITE/EXTERNAL/ TOPICS/EXTPOVERTY/EXTPRS/0,,contentMDK:20200608	Country-wise compilation of <ul style="list-style-type: none"> • PRSPs • Socio-economic development plans 	I.3 B III.4

~menuPK:421515~pagePK:148956~piPK:216618 ~theSitePK:384201,00.html	Provides overview on development goals and measures in relevant sectors.	
Information on financing climate change adaptation		
Climate Public Expenditure and Institutional Reviews (CPEIR) for many Asian countries http://www.aideffectiveness.org/CPEIR	Country-wise reports on <ul style="list-style-type: none"> • Development and CCA Plans • Institutional set-up • Budget processes • Financing sources for CCA Provide background information on various aspects of financing and on CCA processes.	I.3 B II.2 III.3 IV.2

Any further suggestions by participants on how the training might be even stronger related to their country situation are highly appreciated.

Top ten tips for tailoring training structure and modules

Below a summary list of top ten tips the trainer should reflect on while tailoring the training structure and modules:

1. Familiarize yourself with the NAP country-level training Trainer's Handbook and Participants' Manuals;
2. Get to know the specific framework conditions in the country of application (e.g. NAP priorities and thematic issues of particular national relevance) (see Fig. 1);
3. Get clear information on the expected time availability for the whole training event, on the target group and on the number of participants (this is usually set upfront during discussions with NAP country focal points). Keep in mind that if you are delivering the training with simultaneous translation (e.g. English into Thai), each module will take more time than indicated in the Trainer's Handbook.
4. Suggest an appropriate number of trainers for the trainer team, taking into account the established number of participants and training option chosen. Try to ensure a good mix of female and male trainers;
5. Find information on the level of existing knowledge among the target group (you can look into previous Capacity/Training Needs Assessments);

6. Compose the training agenda by matching and combining different modules so as to meet NAP country training priorities (see the three different training options). For example, if the main training objective is to support a stocktaking process, try to select those modules that help you reaching that objective (Stakeholders mapping exercise; Institutions for NAP; Capacity development for NAP) and build on each other (a stakeholder mapping exercise will help you to identify the main players to be included in a NAP roadmap);
7. In the selection of appropriate modules, be aware of the required time slots for each module (including exercises and reflection time)! Some modules can take several hours to be fully delivered, therefore in a training modality of 2 days this can severely limit the number of modules that could be effectively delivered (see Table 1 of Trainer's Handbook "Module Scheme" for exact estimated time for specific modules' delivery);
8. Adjust the modules' content to make them fully consistent with the country situation. You should consult country documents such as the UNFCCC National Communications, NAPA documents, planning documents, adaptation strategies and the like (see Table 2 of Trainer's Handbook "Information sources for adjustments to country context") and be very specific when you provide examples that are relevant to the country;
9. In mix-matching training activities, take into consideration the possibility to include field visits (this is relevant for all training options) to showcase adaptation projects or more interactive activities (video projections, talking head sessions, live interviews with relevant stakeholders);
10. Prepare a detailed list of all the material you may need for training implementation (billboards, pens, makers, coloured cards, etc.) and share it with country focal points (UNDP or GIZ country offices) at least 3 weeks in advance the actual training event so as to allow enough time for sourcing and procurement. Remember that the NAP training applies practice-oriented and interactive learning methods in line with the 'hands-on' approach. See Part III of the Trainer's Handbook for suggestions on general instructions for applying the training methodology.

Training methodology

All method oriented instructions will be provided in detail in part III of this handbook. At this place, key issues are condensed as an instruction for the quick reader.

The training course applies practice-oriented and interactive learning methods, which are in line with the 'hand-on' approach as required. A teaching method well-tested and proven in many comparable GIZ trainings is the Harvard Case Method (HCM). It conveys teaching messages mainly through interactive practical work done by the participants. The trainer should be familiar with the Harvard Case Method. GIZ offers training-of-trainer events, which include didactical training on specific method elements for HCM (principles of interactive adult learning, method portfolio of interactive training, principles of dialogue, active listening, framework and preparations for HCM etc.).

In line with the Harvard Case Method most of the modules follow the same sequence of elements including:

- A brief **introductory presentation** of approximately 15 min., given by the trainer, provides the necessary theoretical background and familiarizes the participants with their task in the case work/exercise.
- The **exercise** of approximately 30 min. gives participants the opportunity to work practically on certain NAP process challenges and tasks in sub-groups.
- The **plenary/wrap-up discussion** reflects experiences made during group work and deduces key issues and lessons learnt through group discussion of approximately 30 – 45 min. The trainer guides through questions and offers alternatives as well as corrections when necessary.

Complementing the Harvard Case Method, other interactive training methods are being applied such as

- Action learning exercises;
- Structured group discussions (e.g. corner game);
- Role play formats (e.g. continuum walk).

Guidance for effective group work

- Each working group will organize its own discussion process. It is essential that the group selects a visualizer, who documents all findings on pin boards and might also facilitate the group work.
- Take your time, follow the trainer's instructions and see if everybody is on board.
- The trainer is around and can be asked if questions arise.
- The main learning objective of the group work is to make practical experiences on tasks in the NAP process not to be comprehensive in the task
- [Ensure women and men have an opportunity to contribute both in small groups and plenary](#)

In module VI.1 a roadmap for the participants' specific country situations is developed, which condenses key findings from many previous modules. To support this process, key findings to be considered during the roadmap development are compiled in the respective 'parking lot' boxes of each relevant module. The step-wise development of the roadmap thus is of importance for the whole training concept, which the trainer should point out to the participants where necessary.

Training package

- The participants' manual provides background information, explains the exercise tasks per module and includes all necessary supporting information for completing the exercises.
- The trainer's handbook consists of three parts. Part I presents basics on participatory training methodologies in general and the Harvard Case Method in particular. Part II provides specific information for conducting all modules. Part III contains general instructions for successful adult learning and explores in-depth methods of interactive training.
- A library of PowerPoint slides supports the input sessions.

Training as part of capacity development for NAP

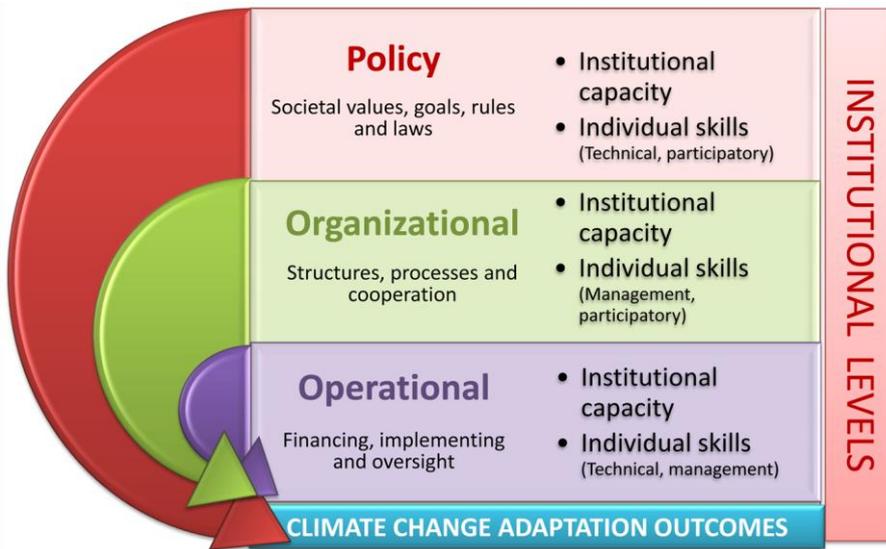
The NAP process requires comprehensive capacities in the respective country. In many countries, it will be necessary to develop these capacities as part of the NAP process. Capacity development approaches include the elements of

- **Human resource development:** ~~People~~ **Women and men** in different organizations should be capable of performing required tasks.
- **Organizational development:** Organizations should be established and designed in a way, that adaptation processes are planned, implemented and monitored successfully.
- **Institutional development:** Legal frameworks, rules, codes of operation and other institutional set-ups should enable successful NAP processes.
- **Cooperation and network development:** NAP processes require successfully operating networks among stakeholders and organizations.

Only if all four elements are adequately reflected and support each other, the overall NAP process can be expected to lead to intended results.

Figure 2 illustrates the system understanding of capacity development as used in this training. The figure shows that individual skills relate not just to a technical understanding of climate change but equally the management and participatory abilities necessary to effect change. Figure 2 also demonstrates the complexity and range of interactions likely to characterize adaptation planning and, by inference, the complexity of corresponding capacity development actions necessary to support this process.

Figure 2: Concept of capacity development



(Source: Draws from UNDP Capacity Development Framework, 2008)

This training addresses mainly the aspect of human resource development. In module IV.1, the trainer together with the participants will reflect options for linking human resource development to institutional capacity development in all 3 areas as shown in the figure.

Part II: Module-wise instructions

Module I.1: Essentials of adaptation to climate change

I.1 Essentials of adaptation to climate change
I.2 <i>Conceptual understanding of the NAP process</i>
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The NAP Technical Guidelines provide a definition of adaptation, which reflects its integrative, process oriented character. Further explanation about the general concept of adaptation is given in the section 1.1.2 of the NAP Technical Guidelines. In all steps of the NAP process, this system-like approach to adaptation has to be taken in mind. Successful adaptation usually requires a hand-tailored process design, flexibly adjusted to concrete conditions in the country of application. It reflects different dimensions such as political, socio-economic and technical.

However, the NAP Technical Guidelines do not engage in in-depth development of adaptation concepts. If required, information can be drawn from other documents such as the 5th IPCC Assessment Report (AR5)⁷ or the OECD Policy Guidance 'Integrating Climate Change Adaptation into Development Co-operation'⁸. In respect to concrete adaptation technologies relevant for the particular country, GIZ factsheet 'Coming to grips with adaptation' might provide orientation⁹.

Learning objectives of the module

- Ensure common understanding of all participants regarding basics of climate change and adaptation.
- Analyse the inter-linkages between adaptation and development.

⁷ IPCC: Weblink: <http://www.ipcc.ch/report/ar5/>

⁸ OECD: Weblink: <http://www.oecd.org/env/cc/integratingclimatechangeadaptationintodevelopmentco-operationpolicyguidance.htm>

⁹ https://gc21.giz.de/ibt/var/app/wp342deP/1443/wp-content/uploads/filebase/ms/mainstreaming-guides-manuals-reports/GIZ_Adaptation_Technologies_Factsheet_2014.pdf

NAP Country-level training

- Reflect challenges and benefits of adaptation.

How to tailor the module to the country context

By and large, the design of the exercise will ensure that the debate reflects the country situation. The individual arguments by the participants will be based on experiences within their countries. Additionally, it is advisable to briefly introduce what the country of application already does for climate change adaptation. This could be done either through an additional slide, which the trainer has to prepare, or by a brief statement of a participant. If the trainer has to summarize the country's activities he or she should extract information from National Communications and / or from a specific country website on climate change (see table 2).

Material needed

- PPT M I.1
- Potentially: Brief movie on adaptation 'We know enough about climate change – it is time for decisions now'.¹⁰
- 4 cards, one in each corner of the training room, indicating the four categories of challenges:
 - Political / institutional challenges
 - Economic / financial challenges
 - Social challenges / acceptance
 - Technical challenges

Duration

- 50 minutes

¹⁰ Animated film: Length: 5'42". The film is available in 12 languages: Arabic; Tunisian Arabic; Bengali; English; French; German; Hindi; Indonesian; Mongolian; Portuguese, Spanish; Tagalog; Tamil: <https://www.pik-potsdam.de/research/climate-impacts-and-vulnerabilities/research/research-field-2-NSP/ccd/films-and-clips/download-we-know-enough>.

NAP Country-level training

Intro (15 min.)	<ul style="list-style-type: none">• Module intro ppt• Add task description the way you decide to run it
Exercise / group work (5 min.)	<p>Type of exercise: Action learning exercise 'corner game'.</p> <ul style="list-style-type: none">• Participants have to reflect individually which of the four challenges seems to be most important for them on the way to successful adaptation in their country.• According to their choice, they go into the corner of the room which represents their view (marked through the four cards as mentioned above).
Wrap-up (30 min.)	<p>Guiding questions for corner game</p> <ul style="list-style-type: none">• First round: Ask in each corner selected participants: Why did you select this corner?• Second round: You facilitate a discussion among selected corners by picking up contradictory or controversial opinions. Invite selected representatives of opinions to respond to arguments from other corners.• Final conclusion: Steer the debate to the conclusion that all four aspects are similarly important and closely interrelated.

Module I.2: Conceptual understanding of the NAP process

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The guiding principles at the beginning of the NAP Technical Guidelines make clear that a rigid obedience to given process steps would be counterproductive. Rather, countries should select which steps and activities make sense for them in order to move forward taking into consideration their concrete level of progress with adaptation thus far. Chapter 1.2.3 of the Technical Guidelines explains the guiding principles in detail.

Learning objectives of the module

- Familiarize with the general concept and character of the NAP process
- Reflect on the relation to other national processes
- Get a first overview about existing support channels for NAP

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. At slide 10 the trainer can ask the participants which other relevant planning processes exist in the country.. One example: The country might use a different term for the National Growth Strategy and might not apply NAMAs.

Material needed

- PPT M I.2
- 2 pin boards showing matrix I.2.1
- Marker pens

Duration

- 105 minutes

NAP Country-level training

Intro (25 min.)	<ul style="list-style-type: none"> • Module intro ppt • Provide task description the way you decide to run it • The trainer might interrupt the presentation by briefly asking at slide 10, which relevant country processes exist in the country of application.
Exercise / group work (40 min.)	<p>Type of exercise: Matrix work</p> <ul style="list-style-type: none"> • Divide participants in 2 working groups at random. • Explain that this exercise intends to clarify what the NAP principles mean for a particular country and does not undertake a SWOT analysis. A SWOT analysis will be conducted in module II.1 on stocktaking. • Assign each group to work in joint discussion on the matrix by identifying concrete examples for the principles added value, mainstreaming, ownership and learning. • Emphasize that the participants don't have to complete the matrix for all these principles if they don't see specific opportunities or challenges for a particular principle. • Let them organize their own process but ensure that they document their findings. • Give them a signal 10 min. prior to the end so that they comply with the time frame given.
Wrap-up (40 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • What are key findings in respect to opportunities (compare both groups)? • How to make use of the opportunities? • For which principles did you have difficulties to define opportunities? Why? • Are there certain principles for which you see specific strengths in your country? • What are key findings in respect to challenges (compare both groups)? • How to cope with challenges? • Is it always possible to cope with challenges? Which challenges are specifically strong? • What would coping with challenges depend on?

Module I.3: Process overview on NAP

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
<i>II.1 Element A: Stocktaking</i>
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
<i>VI.1 Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The NAP Technical Guidelines define four process elements with various steps, activities and outputs. A general overview on the elements and steps provides table 1 on p. 23 of the NAP Technical Guidelines, the specified description of each step is shown in table 2 on p. 24. The integrative and added value approaches as pursued by the NAP Technical Guidelines imply further that each NAP process is not understood as a stand-alone process but has to be seen in its relationship to other existing processes of planning, financing, implementation and monitoring. Many steps as envisaged in the Guidelines reflect on how they can build on or be mainstreamed into these existing processes.

The guiding principles at the beginning of the Guidelines as reflected in module I.2 make clear that a rigid obedience to these steps would be counterproductive. Rather, countries should select which steps and activities make sense for them in order to move forward taking into consideration their concrete level of progress with adaptation thus far. The NAP Technical Guidelines provide 'workstreams' in chapter 8.2.3 that select steps with a view to overarching themes such as 'Gap and needs analysis', 'Monitoring and Evaluation' or 'Reporting'.

Learning objectives of the module

- Get introduced to the main elements and basic structure of the NAP Technical Guidelines.
- Reflect which parts of the Technical Guidelines can help to move your NAP process forward and how they can best be used.
- Understand what supplementary materials and support resources are available upon countries request.
- Know how this training covers the NAP Technical Guidelines.

NAP Country-level training

Part A: Navigating within the element scheme of NAP

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. In principle, adjustments by the trainer are not necessary. However, if the training is conducted in a country that previously participated in a regional training by GSP or LEG, the trainer might use the mini roadmap as a starting point for the exercise. He or she should let the participants select the activities not from table 3 of the NAP Technical Guidelines (short version) but from the mini roadmap.

Further adjustment might be required for the slide “Examples of supplementary material and support upon country demand”. You might add specific regional or country-specific support mechanisms and material for the country of application.

Material needed

- PPT M I.3
- 1 pin board showing matrix I.3.1
- Blank cards in different colors
- Summary version of the NAP Technical Guidelines (2 copies for each group)
- Marker pens

Duration

- 95 minutes

NAP Country-level training

Intro (25 min.)	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
Exercise / group work (35 min.)	<p>Type of exercise: Sub-group exercise on 4 tables</p> <ul style="list-style-type: none"> • Divide participants in 4 working groups at random. • Place 4 tables in the corners of the room, each providing 2 copies of the Technical Guidelines. • Assign each group to work in joint discussion on extracting activities from the NAP Technical Guidelines (short version) table 3, which are relevant for the given steps in its country. • Allow them 5 min. reading time to get familiar with the content of figure I.3.1. • If participants show confusion why matrix I.3.1 does not cover Element D, explain that the work stream for the 'gap and needs analysis' focuses more on preparatory steps of the NAP process. Other workstreams such as 'reporting' would cover more the final steps of the NAP process and, consequently, reflect also Element D. • Let the participants write the activities on cards provided to them (big letters, not more than 3 lines per card, one issue per card). • The trainer collects cards during the wrap-up and places them on the pin board.
Wrap-up (35 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Which activities did you identify (collect cards from all groups and briefly comment on them; cluster duplications)? • Where do you see activities of special importance? • Which activities of the indicative list in the Technical Guidelines were not relevant for your country? Why?

Part B: Interfacing with various existing country processes under the NAP process

How to tailor the module to the country context

The collection of blue cards should be brought in line with the actually existing planning and implementation processes in the country. For instance, it might be that there is no NAPA in the country of application (then delete the NAPA-card) or that the National Development Plan has a specific name (e.g. Socio-economic development plan). Information sources and concrete links supporting these adjustments are mentioned in table 2.

Material needed

- 1 pin board showing collection of blue cards and 1 red card (fixed through pins) as shown in figure I.3.2.
- Collection of yellow cards as shown in the figure.

Duration

- 25 minutes

<p>Exercise / group work (25 min.)</p>	<p>Type of exercise: Action learning</p> <ul style="list-style-type: none"> • Trainer stands in front of the pin board with preparation as specified above. • All participants are gathered around him. • Trainer points to one blue card (e.g. National Development Plan) and asks which yellow card would characterize the relationship to the NAP process (right answer could be 'mainstream'). • He explores in the same way the relationship of NAP process to many other processes. • He takes a yellow card such as 'Joint implementation' and asks: For which process would a joint implementation together with NAP process elements be relevant? • In this way he supports a system understanding through exploration of various types of relationship.
<p>Wrap-up 10 (min.)</p>	<ul style="list-style-type: none"> • How is this analysis relevant for your work in the context of the NAP process? • Facilitate a discussion and suggest the conclusion that climate change adaptation and development processes need to be addressed jointly in order to be successful

Module I.4: NAP Chat

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The NAP process requires briefings and sensitization of policy makers and decision-makers. This is specified in Element A, Step 1.A. The chat focuses especially on these issues.

Contents wise, the chat reflects potential barriers to the NAP process and how to overcome them. These issues will be analysed in Element A, Step 2.D of the NAP Technical Guidelines (assess potential barriers to the planning, design and implementation of adaptation activities).

Learning objectives of the module

- Playfully reflect key characteristics, challenges and approaches of the NAP process in general from the perspective of different government stakeholders.
- Identify ways to overcome barriers and to find ways to move forward in the interaction of government institutions.

How to tailor the module to the country context

The chat refers to the fictitious country of Adaptania. It is recommended to refrain from a direct transfer to the situation of the country of application since this would imply interpretation of the position and behaviors of various (real) actors, which might be sensitive.

The module might be applied only to countries and / or target groups with a comparably low involvement into NAP processes.

Material needed

- PPT I.4
- Script for the chat (one print-out for each 'actor')

NAP Country-level training

Duration

- 30 minutes

Reading / preparation	<ul style="list-style-type: none">• Select actors (volunteers) the day before and hand out the scripts in order to allow them to prepare for the play. <u>Ensure a good mix of women and men actors.</u>• Allow them to prepare for their performance (e.g. by reading carefully their part the evening before).
Intro (5 min.)	<ul style="list-style-type: none">• Module intro ppt• Add task description the way you decide to run it
Exercise / group work (15 min.)	Type of exercise: Role play <ul style="list-style-type: none">• Arrange for a 'stage' in the training room, where the actors can perform.• The rest of the participants form the auditory.
Wrap-up (10 min.)	Guiding questions for wrap-up <ul style="list-style-type: none">• Will the MOP really arrange this meeting?• And if so, what will happen after it?• Will Adaptania's government take the NAP process up as a political priority?• And the overall and most pressing questions...?

Module I.5: Getting to Yes: Negotiating agreement without giving in

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
<i>I.4 NAP Chat</i>
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
<i>II.2 Element A: Institutions for National Adaptation Planning</i>
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The NAP Technical Guidelines embody elements of negotiation at each step: from achieving a common and shared definition of adaptation at national level (Element A), to agreeing on the adaptation options to be implemented (Element B); from establishing a national cross-sectoral coordination mechanism (Element C), to choosing the principles that should guide the assessment and review of adaptation projects (Element D). This is a cross-cutting module which applies to all the four elements of the NAP Technical Guidelines.

Learning objective of the Module

- Understand the importance and role of effective negotiation in national adaptation planning.
- Understand the four-principle approach to overcome obstacles to negotiation processes.
- Engage in a practical exercise to reach consensus-based agreements through principled negotiation.

How to tailor the module to the country context

The exercise focuses on a fictitious situation in the hypothetical country of Adaptania. Participants are asked to negotiate in groups and reach an agreement. The exercise is designed in a way that can be tailored to the individual situation of the country of application. You can either select two vulnerable areas from the country where the training is implemented or even modify the overall situation taking into account the national circumstances. In particular, you can refer to Table 1 of the Participants' Manual as to identify entry points and practical examples of where negotiation strategies need to be developed. For example, under Element B of Table 1, there is need to

NAP Country-level training

negotiate an agreement on what criteria to apply for the selection of specific adaptation options. The negotiation exercise could be designed to reflect the different approaches adopted by the country's Ministry of Environment (e.g. multi-criteria analysis) and Ministry of Finance (e.g. cost-benefit analysis) to select adaptation options. The negotiation strategy would therefore focus on how to reach a consensus-based agreement between the two different selection criteria. Adjusting other materials (e.g. ppt slides) is not necessary.

Material needed

- PPT I.5, including the embedded video
- Blank cards to write down strategic points of negotiation
- Marker pens

Duration

- 90 minutes

Intro (20 min.)	<ul style="list-style-type: none"> • Module intro PPT I.5 • Video projection (5 minutes) • Add task description the way you decide to run it
Exercise / group work (40 min.)	<p>Type of exercise: Action learning</p> <ul style="list-style-type: none"> • Explain the assumption at the basis of the exercise: there are two equally vulnerable regions (Region 1 and Region 2) in the country with limited funds to support the implementation of a detailed risk and vulnerability assessment that will inform the identification of suitable adaptation options • Split up in groups of 3 people according to the following categories: climate change district officers of Region 1, climate change district officers of Region 2, Ministry of Environment and Climate Change • Task each group to design a negotiating strategy using the four principles of negotiation. If one group represents one of the vulnerable regions, it should try to get a resource allocation to undertake the risk and vulnerability assessment. If another group represents the Ministry of Environment and Climate Change, this should decide how to use at best the funds either with one or the two regions in question • Assign each group to outline on a card the main points of their negotiation strategy trying to achieve a fair and equitable agreement using the four principles of negotiation.
Wrap-up (30 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Could each group present its negotiation strategy to the audience? • Have you managed to apply the four principles of negotiation? Which one was most influential in designing your strategy? • Which challenges have you faced during the design of your strategy? How did you overcome them?

NAP Country-level training

	<ul style="list-style-type: none">• Have you managed to achieve fair and equitable results (from your point of view)? If yes: How did you manage that?• Can anyone provide an example of how s/he managed to reach a consensus based agreement related to adaptation planning in your country context?
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Module I.6: Advancing Gender Integration in the NAP process

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

The NAP Technical Guidelines (LDC Expert Group, 2012) recognize the importance of integrating a gender perspective in the NAP process to help ensure that: there is equal participation of men and women in decision-making processes and implementation of adaptation activities; the NAP process and activities will not exacerbate gender inequalities; the process leads to better adaptation and more resilient communities. The NAP Technical Guidelines also suggest a number of ways to integrate gender considerations into the NAP process along the following lines:

- Assess the information available in the country regarding different vulnerable groups and conduct any required further research on this topic;
- Engage women and men as agents of change within their communities, and invest in this potential as part of the NAP process;
- Tailor and implement NAP activities based on an understanding of gender dynamics and the potentially different impacts of climate change on women and men;
- Ensure the participation of the most vulnerable groups in the NAP process;
- Incorporate the perspectives and local adaptation knowledge and coping strategies of women and men adaptation when formulating the NAP;
- Undertake outreach with different stakeholders on the gender dynamics of climate change;
- Use sex-disaggregated data in vulnerability and adaptation assessments;
- Monitor and report on the integration of gender considerations into the NAP process;

NAP Country-level training

- Evaluate the integration of gender considerations into adaptation and make improvements if necessary.

Learning objective of the Module

- Develop a basic understanding of the concepts and approaches to addressing gender equality and women's empowerment.
- Build knowledge of how to integrate/mainstream gender throughout the whole NAP process to support the development of gender-responsive National Adaptation Plans.
- Provide relevant gender tools and resources to support gender integration.

How to tailor the module to the country context

1. Presentation: The slides prepared to support this module have been developed in a way that they are generic so as to be useful to different audiences. However, a trainer can adjust these to include specific country-related case studies or data in the slides. The slide deck can also be shortened as needed depending on the specific focus of the training and the time available. Alternatively, or additionally, a short, lively video can be included at the beginning. Suggested videos are included in the section, *Resources and further reading*, at the end of this module. Country-specific gender-focused data can be found in the data sets included in the *Resources and Further Reading* section to customize the slides.

2. Exercise: The exercise has been designed in such a way that the case studies can be used as is. However, they can be also be revised by the trainer to fit the specific country context if desired. For example, if agriculture is not the main focus of the NAP-related training, the first case study (Gender analysis) can be altered to focus on another sector such as energy, irrigation, water, etc. or it can be adapted to cover different sectors. Country-specific data and information can be found in the data sets highlighted in the *Resources and further reading* section in this module. Many countries also have national Gender Strategies or Plans or even [Climate Change Gender Action Plan \(ccGAPs\)](#) which can provide information for a customized case study. If the training focuses on cost-benefit analysis or multi-criteria analysis, the case can also be adapted to highlight the importance of gender analysis to inform these types of analyses in identifying adaptation options.

The second case study (Stakeholders in the NAP process) assumes that some trainees will have knowledge of the governmental and non-governmental stakeholders focusing on gender equality and women's empowerment. If not, the trainer can include some of the specific gender-related stakeholders in the case study. This can be done by talking to a key informant, e.g. government

NAP Country-level training

(possibly in a Gender or Women's Affairs Ministry) or NGO staff person, researcher or academic working on gender equality/women's empowerment. The first task for the group discussing this case study will then be to add to the preliminary list developed by the trainer. Then they can begin to prioritize and discuss based on the questions included.

The third case study (Gender in NAP implementation) builds on gender equality/women's empowerment issues that might actually be experienced during implementation of adaptation activities and does not need to be revised. However, the implementation scenarios can be revised slightly to focus on particular issues that may be faced in a country. Again, a key informant from related government bodies (Gender/Women's Ministry, NGO working on gender equality/women's empowerment) can provide further information on experiences women may face in organizations or implementation of related types of programme/project activities (e.g. natural resources management, renewable energy etc.).

Material needed

- Optional if longer time available for module – short video on gender and climate change. See list of videos in the section, *Resources and further reading* at the end of this module.
- Powerpoint presentation M1.6 Advancing gender integration in the NAP process
- Case studies for trainees. These are included in the Participant Manual
- Flipchart paper and flipchart stands or pinboards – enough for 3 groups.
- Marker pens
- Parking lot poster

Duration: 120 mins.

NAP Country-level training

<p>Intro (30 min.)</p>	<ul style="list-style-type: none"> • Type of exercise: Presentation and/or brief video and group discussion • Materials: Presentation: <i>Module M1.6 Advancing gender integration in the NAP process</i>. Optional video. • Go through presentation slides with trainees, highlighting areas particularly relevant to the context in the country. It is important to go through concepts and approaches in a way that is clear and precise for all trainees. Provide -- and also ask for -- examples from participants' experience to ground the concepts, issues, and approaches, etc. • Introduce Group Work exercise on integrating gender into the NAP process.
<p>Exercise / group work (1 hour)</p>	<p>Type of exercise: Small group work using case studies on Gender analysis, Stakeholders focused on gender equality/women's empowerment, and Gender in NAP implementation.</p> <p>Materials: Exercise with the three case studies included in the Participant Manual, flipchart paper, markers</p> <ul style="list-style-type: none"> • Ask trainees to self-select one of three groups depending on their interest in the case studies or issues they are most likely to address in the NAP process. If there are too many people in one group, ensure some join another group with fewer people. Also, ensure a fair balance of men and women among the three groups. • Trainees work together for an hour in their small groups and use the discussion questions below each case study to guide their discussion. • Each small group will keep notes of the key points of discussion so they can report back briefly in plenary.
<p>Wrap-up (30 min.)</p>	<p>Discuss takeaway lessons for your NAP process</p> <p>In plenary: Have each group give a 3 minute summary of the key points raised in their discussions.</p> <p>Question to trainees: Imagine you have gone home from this training and are putting together a checklist to help your colleagues integrate gender in the NAP process. What are your top five recommendations in relation to (focus on one at a time, then go onto the next):</p> <ol style="list-style-type: none"> i.) Designing, conducting, and using gender analysis in the NAP process? ii) Identifying and working with stakeholders focused on gender equality/women's empowerment? iii.) Addressing gender-related challenges in NAP implementation? <p>2. Are there other specific elements or steps in the NAP process where you feel gender must be integrated (Be specific).</p> <p>3. What challenges exist in the country that might need to be addressed to ensure gender is integrated in the NAP process?</p>

Glossary of common terms and definitions used in gender related considerations in climate change adaptation.¹¹

- **Gender** is about women and men, boys and girls and their relationship to each other in different groupings. Gender refers to the roles, behaviours, activities and attributes that a given society, at a given time, considers appropriate for men and women. Gender also refers to relations between groups of women and between groups of men. These roles and attributes are socially constructed and learned through socialization processes. As such, gender roles and relations are different between societies and at different points in history (UNDP 2015a).
- According to the United Nations Economic and Social Council, **gender mainstreaming** is “the process of assessing the implications for women and men of any planned action, including legislation, policies and programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of design, implementation, monitoring and evaluation of policies and programmes in all political, economic and social spheres”. The ultimate goal is **gender equality**.
- **Gender-responsive** refers to identifying, reflecting on and implementing interventions needed to address gender gaps and overcome historical gender biases in policies and interventions. Its use contributes to the advancement of gender equality with an idea to ‘do better’.
- **Gender-sensitive approaches and tools** for understanding and assessing impacts, vulnerability and adaptation to climate change refer to methodologies and practices applied to ensure that both men and women’s concerns, aspirations, opportunities and capacities are taken into account in all climate change adaptation activities, including assessments, planning, implementation, monitoring and evaluation and technology development.
- **Gender differentiated vulnerability** to climate change impacts – Gender is one of many components of vulnerability to climatic change. Changes in the climate affect genders differently, magnifying existing gender inequality.
- **Sex-disaggregated data** are data that are collected and analysed separately for men and women.

Source: Except where otherwise stated, UNFCCC (2013) in UNFCCC LDC Expert Group (2015)

Resources and further reading

- Bryan, E. Kristjanson, P. and C. Ringler (2015) Why paying attention to gender matters for climate change adaptation. IFPRI. (Blog with links to numerous resources and tools) <http://bit.ly/1PxKE1o>
- CARE. CARE Gender Toolkit (Website) with link to Gender Analysis Framework and other tools and resources. <http://gendertoolkit.care.org/Pages/core.aspx>
- GIZ. Gender knowledge platform (Website) <http://www.gender-in-german-development.net/>
- Huyer S. (2016). Gender and international climate policy: An analysis of progress in gender equality at COP21. CCAFS Info Note. Copenhagen, Denmark: CGIAR Research Program on Climate Change, Agriculture and Food Security <http://www.gender-in-german-development.net/>
- IUCN (2011). Draft guidelines to mainstreaming gender in the development of National Adaptation Plans (NAPs). <http://bit.ly/1PxKE1o>
- Jost C, Ferdous N, Spicer TD 2014. Gender and Inclusion Toolbox: Participatory Research in Climate Change and Agriculture. Copenhagen, Denmark: CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS); CARE International and the World Agroforestry Centre (ICRAF) <http://bit.ly/2a6K26v>
- LDC Expert Group (2015). Strengthening gender considerations in adaptation planning and implementation in the least developed countries, UNFCCC <http://bit.ly/28UZxuM>
- LDC Expert Group (2012) National Adaptation Plans: Technical guidelines for the national adaptation plan process <http://bit.ly/2bfinNP>
- UNDP (2015a). Gender-responsive national communications toolkit al <http://bit.ly/2avRxE>
- UNDP (2015b). Gender Mainstreaming in Mitigation and Technology Development and Transfer Interventions. <http://bit.ly/2akMSmx>
- UNDP (2014a) Gender and climate change (Africa): Regional Thematic Policy Briefs and Training Modules <http://bit.ly/29hig46>
- UNDP (2014b) Gender and climate change (Asia Pacific): Regional thematic policy briefs and training modules (<http://bit.ly/2anG9qq>)
- UNDP (2010). [Gender, Climate Change and Community-based Adaptation Guidebook](#).
- UNDP (nd) Filling buckets, fuelling change. Ensuring gender-responsive climate change. <http://bit.ly/1VdtiJq>
- UNFCCC (2013). Best practices and available tools for the use of indigenous and traditional knowledge and practices for adaptation, and the application of gender-sensitive approaches and tools for understanding and assessing impacts, vulnerability and adaptation to climate change (Technical paper) FCCC/TP/2013/11. <http://bit.ly/1pljtnp>
- UNWomen (2015). Pacific gender and climate toolkit: Tools for practitioners <http://bit.ly/28VTDsp>

Databases:

- [FAO Gender and Land Rights Database](#)
- [OECD Social Institutions and Gender Index](#)
- [UNDP Gender Inequality Index](#)
- [UNDP Gender Development Index](#)

Commented [VC1]: Same comment as in participant's manual

NAP Country-level training

- [World Bank Gender Databank](#)

Videos:

- CIAT. Gender inclusive research: How and why (focused on agriculture and CC)
<http://binged.it/29aTm4k> (6:02 mins)
- Women for results (about climate adaptation initiatives women are operating)
<http://bit.ly/295mFWS> (5:18 mins)

Module II.1: Stocktaking

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element A, Step 2 (Stocktaking) identifies available information on climate change impacts, vulnerability and adaptation and assesses gaps and needs of the enabling environment for the NAP process. The stocktaking forms an important basis for addressing capacity gaps, taking care of capacity development measures and establishing adequate institutional set-ups for the NAP process in Step A.3.

Learning objectives of the module

- Get to know different methods for stocktaking.
- Learn how to use the results of stocktaking exercises for developing the NAP process.
- Reflect on planning capacities in your country.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. Adjusting other material (e.g. PowerPoint presentations) is not needed.

Material needed

- PPT II.1
- 2 pin boards showing matrix II.1.1
- 1 pin board showing matrix II.1.2
- Marker pens

Duration

- 80 minutes

NAP Country-level training

Intro (15 min.)	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
Exercise / group work (30 min.)	<p>Type of exercise: Matrix exercise. Participants work in 2 groups on matrix II.1.1.</p> <ul style="list-style-type: none"> • Divide participants in 2 working groups. You might cluster participants according their institutional involvement: (i) Group 1 could comprise of persons directly involved in climate policy and adaptation coordination; (ii) Group 2 could be composed of persons from sector institutions which handle adaptation as one task among others. • The group work comprises the SNAP matrix only. The SWOT table (copied on a pin board in the class room) can be compiled by the trainer during wrap up if he or she wants to condense conclusions from the module. The findings in the SWOT chart should be based on the discussion points expressed by the participants.
Evaluation of exercise	<ul style="list-style-type: none"> • If time allows, you might analyse the rankings by the participants within the Excel template provided by GIZ and generate spider diagrams (use different lines for each working group), which might be projected to the screen.

NAP Country-level training

<p>Wrap-up (35 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Explain a few rankings and examples for selected success factors (select 2 ranked high and 2 ranked low). • How would you characterize the spider diagram generated from you findings? • Are the spider diagrams different for each working group? If yes, what could be reasons? • What would you consider crucial success factors for your country? • How might adaptation related success factors correlate with other success factors (e.g. for socio-economic development)? • Do you see the need to develop an in-depth SNAP analysis at your work, comprising all 21 success factors? • How would you do that? • For the generation of the SWOT analysis the trainer asks questions and visualizes answers directly in matrix II.1.2. Guiding questions for the SWOT analysis: <ul style="list-style-type: none"> • Based on your findings as analysed: Where would you see key strengths, weaknesses, opportunities and threats for the NAP process of your country? • Which strengths do you consider most important? How to use them in the best way? • Which weaknesses and threats do you consider most important? How to cope with them? • Which conclusions would you draw for the NAP roadmap to be developed under module VI.1?
<p>Inputs for road map development in module VI.1</p>	<ul style="list-style-type: none"> • The road map development in module VI.1 will be based on findings made in previous modules. This module is the first one for which this is relevant. • The trainer should prepare a pin board with a 'parking lot' for take away points to be revisited during exercise VI.1 and start noting points during this wrap up.

Module II.2: Institutions for National Adaptation Planning

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
<i>III.1 Element B: Climate information for risk & vulnerability assessments</i>
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
<i>VI.1 Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element A, Steps 3 (3.A and 3.B): Potential gaps and weaknesses for undertaking the NAP process have to do with stakeholders' capacities, interests, and roles. Step 3.A focuses on typical barriers the adaptation process might be confronted with and how to overcome them. Step 3.B puts a stronger focus on stakeholders and their involvement. Defining stakeholders' roles supports targeted capacity development as well as the identification of entry points for integrating climate change adaptation into development planning as envisaged by the NAP Technical Guidelines. The analysis will contribute to developing a roadmap for the NAP process including capacity development and adequate institutional set-ups (see module VI.1). Also Step B.5 (Integrating adaptation into national and sub-national planning) can build on a thorough stakeholder analysis and capacity development for mainstreaming.

Learning objectives of the module

- Understand the importance of adequate institutional set up for adaptation.
- Identify potential barriers for adaptation and how to overcome them.
- Understand roles of different stakeholder and importance of their adequate involvement.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. It can be expected that the participants know the institutional structures and stakeholders in their countries. The trainer might prepare himself / herself by studying documents as indicated in table 2 prior to the training.

NAP Country-level training

Material needed

- PPT II.2
- 1 pin board showing matrix II.2.1
- 2 pin boards showing figure II.2.1
- 2 pin boards showing figure II.2.2
- Blank cards in different colors in line with indications in training manual (colors green, red, grey).
- Marker pens

Duration

- 70 + 70 + 60 minutes (full Durations including all 3 parts: 200 minutes; the module might be conducted in a way that only parts are selected).

Part A: Institutional barriers and possible responses

Intro (20 min.)	<ul style="list-style-type: none">• Module intro ppt• Add task description the way you decide to run it
Exercise / group work (25 min.)	Type of exercise: Whisper group with card collection. <ul style="list-style-type: none">• Divide participants in sub-groups of 2 or 3 (direct neighbors).• Disseminate cards and marker pens.• Invite each sub-group to write appr. 2 cards for selected relevances and 2 cards for selected responses to overcome barriers.
Wrap-up (25 min.)	Guiding questions for wrap-up <ul style="list-style-type: none">• Take cards from sub-groups, let them be commented by the sub-group if necessary and place them on the pin board.• Did you find for all barriers adequate responses?• What would you consider the most relevant barrier(s) in your country?• What would be necessary to further strengthen responses to institutional barriers?• Can you identify other barriers which are not mentioned in the matrix?• How relevant are they?

Part B: Stakeholder Mapping

Exercise / group work (40 min.)	Type of exercise: Mapping exercise. <ul style="list-style-type: none">• Compose 2 working groups at random.• Disseminate cards in colors as given and marker pens.• Explain the logic of a stakeholder map.• Invite participants to write relevant stakeholders on cards and place them at appropriate places of the stakeholder map.
Wrap-up (30 min.)	Guiding questions for wrap-up <ul style="list-style-type: none">• Could a volunteer explain the main findings to the plenary? Additionally you might ask (depending on what was presented): <ul style="list-style-type: none">• Who are key and secondary stakeholders?• Who are veto players? What gives them veto-power?• What are main allies (strong cooperation)?• How could cooperation networks be strengthened / extended?• What are conflicting relationships? What is subject of conflict? How could conflicts be mediated?

Part C: Institutional set-up

<p>Exercise / group work (30 min.)</p>	<p>Type of exercise: Mapping exercise.</p> <ul style="list-style-type: none"> • Explain the logic of functional clusters. • Invite participants to take the cards from their stakeholder map and place them at adequate locations on the institutional map.
<p>Wrap-up (30 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Could a volunteer explain the main findings to the plenary? Additionally you might ask (depending on what was presented): • Which stakeholders have steering, which advisory, which operative functions? Why? • How to involve civil society? • Are there different models to involve civil society? • Which specific role would civil society play? • Which organizational schemes did you develop? • (Assuming that both groups found different solutions): What are pros and cons for the two solutions? • How far do you have to establish new bodies and how far can you use existing institutions? • Are there any models in your country of institutional set-ups for other processes where you might learn from for the NAP set up?
<p>Inputs for roadmap development in module VI.1</p>	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module III.1: Climate information for risk & vulnerability assessments

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
<i>II.1 Element A: Stocktaking</i>
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
<i>III.2 Element B: Develop and select adaptation options</i>
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
<i>VI.1 Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

This module mainly refers to Element B, Step 1 (analysing current climate and future climate change scenarios) and 2 (vulnerability assessment): Both steps are closely interrelated since climate data, models and scenarios form an important input for risk and vulnerability assessments. A clearer understanding of the key risks and vulnerabilities will guide the selection of appropriate adaptation options (Step B.3) and enhance the capacity for planning and implementing them (Step C.3).

Learning objectives of the module

- Become familiar with relevant climate information sources.
- Understand the concept of risk and vulnerability and its components.
- Get introduced to ways how to gather the information.

How to tailor the module to the country context

The following exercise (part B) should be focused on the country of application. This requires preparatory adjustments by the trainer. The exercise should address one of the key climate hazards in the respective country and use corresponding material and maps. Useful information sources are indicated in table 2.

The exercise instruction as shown in the training manual applies for Southern Viet Nam (Mekong Delta) and is considered as 'food for thought' for designing an own exercise.

Material needed

- PPT III.1
- For action learning: See detailed description below

NAP Country-level training

- For risk mapping: 4 sets of map print-outs as required for part B
- Materials to highlight key risk areas in the maps: marker pens, adhesive dots etc.

Duration

- 120 minutes(full duration including both exercises)

Part A: Definitions of risk and vulnerability

NAP Country-level training

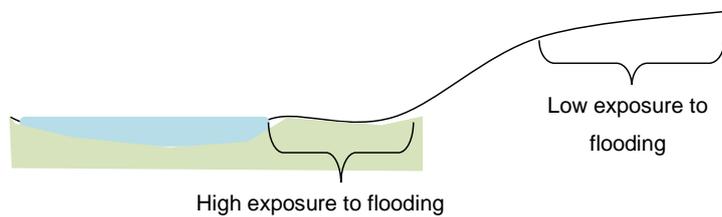
Intro (20 min.)	<ul style="list-style-type: none">• There are different possibilities to explain the concepts of risk and vulnerability, depending on the need of the participants and the time constraints.<ul style="list-style-type: none">○ Using only slide 6 in the ppt○ Conducting exercise part A instead of slide 6○ Using both slides 6 and conducting exercise part A to deepen the understanding
Exercise / group work (20 min.)	<p>Type of exercise: Action learning.</p> <ul style="list-style-type: none">• Trainer conducts exercise by standing in front of prepared pin board (see below); the whole group standing around him.• The aim of this exercise is to gain a better understanding of the concepts of risk and vulnerability and the related components¹².• Detailed instructions see below.

¹² This exercise builds on the concepts and definitions used in IPCC AR5. Please refer to the Participants' Manual (Module III.1 as well as Glossary) for the full set of definitions and references. If you prefer to apply concepts and definitions used in IPCC Fourth Assessment Report (AR4), please make use of an earlier version of this exercise, which is included in the training materials as a separate document.

**EXAMPLE:
Materials and
detailed
instructions**

Materials:

A prepared poster with a scenery related to the local context that depicts the possibility of a climate-related hazard, in this example: flooding after unusually heavy rainfalls originating from climate change. The scenery should include areas with different degrees of **exposure**, e.g. an area within a floodplain and a more elevated area:

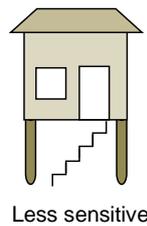
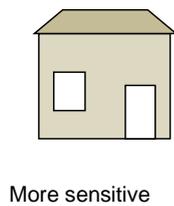


Instruction for exercise

Introduce two cards with a house: one should be placed in the flood plain, one on elevated grounds. Please ask if they differ regarding the **hazard, exposure, or both**. Correct answer: They differ regarding **exposure (E)**.

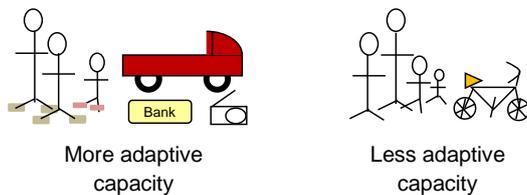
In the next part of the exercise the participants should understand the different components of vulnerability – sensitivity and adaptive capacity:

Two cards are introduced that represent **sensitivity (S)**, or the intrinsic qualities of an aspect of the system that affect the severity of impacts from the hazard. For example, in the case of flooding, one house could be built on stilts, the other one not. Put both cards into the flood plain and ask in which respect the two houses differ and what this means for their sensitivity. Correct answer: the house on stilts is less sensitive to flooding due to its intrinsic quality.



Finally, **coping & adaptive capacities (CC/AC)** will be explored. They focus on the human element of the system, or the ability to react to or prepare for climate-related hazards. While coping capacity primarily

addresses the short-term and is mostly reactive, adaptive capacity is more future-oriented and proactive. In the case of flooding, one family might own a vehicle, a radio and have savings in a bank, while the other family has fewer physical, financial and information resources. Prepare cards with a car, bicycle, radio, emergency plan, land use plan, bankcard, village fund, social network, and family bounds. Put the cards in different constellations around the houses in the plain and ask, in which respect they differ.



Prepare six cards with the terms: Hazard, vulnerability, exposure, sensitivity, adaptive capacity and risk to label the different situations and construct the risk “function,” where risk is a function of hazard, exposure and vulnerability (which itself is a function of sensitivity and adaptive capacity).

Create different combinations of the components to illustrate how these determine **risk**. For example, the situation with the highest risk in case of flooding (H): a family without a car or radio and with little funds and no strong social networks (low CC/AC), living in a basic house (high S) in the floodplain (high E). A situation with lower risk: a family with a car and bank account and radio, with family contacts outside the area, cell phone, early warning system etc. (high CC/AC), living in a house on stilts (low S) on higher grounds (low E).

Vary each factor and discuss in which cases the risk is higher and why:

- 1) a family without a car or radio (low CC/AC), living in a basic house (high S) away from the floodplain (low E); or
- 2) a family without a car or radio (low CC/AC), living in a basic house (high S) in the floodplain (high E)?

Briefly discuss **what could be done to reduce the risk**

- Can the likelihood of the hazard be reduced?
- Can the exposure be changed, or are these houses going to remain at this level of exposure?
- Can vulnerability be lowered by reducing sensitivity or strengthening coping & adaptive capacity?
- What is most/least difficult? Most/least costly? Most/least socially desirable?

NAP Country-level training

- Might some types of households be at higher risk, e.g. female vs male-headed households? Might some people in the same household experience risk or vulnerability in different ways than others?

(Usually the hazard level cannot be changed and it is difficult to change the exposure. Thus, reducing vulnerability by reducing sensitivity and enhancing coping & adaptive capacity is the most feasible option.)

Part B: Risk Mapping

<p>Intro (10 min.)</p>	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
<p>Exercise / group work (30 min.)</p>	<p>Type of exercise: Mapping exercise</p> <ul style="list-style-type: none"> • Divide participants in 4 working groups at random. • Place 4 tables in the corners of the room, each providing copies of the relevant maps in colour. • Assign each group to work in joint discussion on 1 set of maps and identify areas most at risk in the land-use map. The groups might use any technique (marker, dots etc.) to document their findings. • Place all 4 working maps on a pin board in front of the room for the wrap-up.
<p>Wrap-up (40 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Which information did you receive from which map? • Which key risk areas or sectors did you identify? • How did you do that? Which criteria did you apply? • Which information would you need for more precise risk and vulnerability assessments? • Who could / should commission / conduct the risk and vulnerability assessment in your country in the context of the NAP process? Refer to your stakeholder analysis in module II.2. • How should the results of future risk and vulnerability assessments in the context of the NAP process be used (e.g. for identification of adaptation options, M&E of adaptation measures)? • Can you compare the method with risk and vulnerability assessment approaches already applied in your country?
<p>Inputs for roadmap development in module VI.1</p>	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module III.2: Develop and select adaptation options

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
<i>II.1 Element A: Stocktaking</i>
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
<i>III.3 Element B: Appraising adaptation options</i>
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
<i>VI.1 Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element B, Step 3: Reviewing and appraising adaptation options. The adaptation options selected during this step will lay the basis for compiling the NAP document in Step B.4 and for integrating climate change into national and sub-national development and sectoral planning in Step B.5.

Learning objectives of the module

Explore how to select appropriate adaptation options applying the following aspects:

- Understand the necessity of prioritising adaptation options.
- Get introduced to different methods that support decision-making.
- Apply criteria for prioritization.

How to tailor the module to the country context

Matrix III.2.1 specifies sectors and adaptation options which are relevant for many but not for all countries. The trainer needs to check the relevance for the country of application. Useful information might include:

- National development plans,
- sector plans,
- national adaptation strategies,
- National Communications
- National Adaptation Programmes of Action (NAPA).

[National Gender Strategies/Plans \(including National Gender and Climate Change Gender Action Plans \(ccGAP\)\)](#)

Commented [VC2]: I would suggest to refer in general to gender and climate action plan, but not to a specific methodology that UNDP has not been able to implement on the ground. Please adjust elsewhere.

NAP Country-level training

Please consult table 2 for concrete hints for information sources and weblinks.

You may consider selecting six out of the eight adaptation actions provided in Matrix III.2.1, of which the feasibility is supposed to be evaluated, in order to shorten the discussion time. Ideally, the trainer should apply the adaptation options to a concrete country or take them over from already existing plans.

Material needed

- PPT III.2.1
- 2 pin boards showing matrix III.2.1
- Marker pens

Duration

- 85 minutes

NAP Country-level training

Intro (25 min.)	<ul style="list-style-type: none"> Module intro PPT M III.2 Add task description the way you decide to run it
Exercise / group work (30 min.)	<p>Type of exercise: Matrix exercise</p> <ul style="list-style-type: none"> Divide participants in 2 working groups at random. Both groups work on the same type of matrix. Assign each group to work in joint discussion on the matrix by ranking the given adaptation options along the given criteria plus one additional criteria they might consider important. It is very important to explain upfront that if a measure is cost-intensive, it needs to be assigned with a minus (-) and if it is less costly with a plus (+) At the end, add the + o - to come to an overall evaluation for each adaptation measure Example: A working group worked on three measures with the following results: <p>1st measure: 0 + + +</p> <p>2nd measure: + 0 + +</p> <p>3rd measure: 0 - + +</p> <p>To rank and prioritize these measures, the results have to be brought into a metric. For example:</p> <p>- : -1</p> <p>0: 0</p> <p>+: +1</p> <p>The overall result for each measure is then as follows:</p> <p>1st measure: 3</p> <p>2nd measure: 3</p> <p>3rd measure: 1</p> <ul style="list-style-type: none"> Let the groups organize their own process but ensure that they document their findings. Give them a signal 10 min. prior to the end so that they comply with the time frame given.

NAP Country-level training

Wrap-up (30 min.)	Guiding questions for wrap-up <ul style="list-style-type: none">• What are examples of high / low feasibilities?• Which additional criteria did you apply to rank feasibilities?• How far are these criteria sufficient for selection? Which further criteria would you apply in practice? How are social/gender issues considered in the criteria?• How do you consider this ranking approach? Pros / cons?• Were data and information sufficient for ranking? Which information would you need to improve your selection?• Please relate the results of the exercise to your national situation (NAPA, NAP). Does it mirror the situation in your country?• How would the priority ranking relate to the NAP process? How would you feed that into your roadmap to be developed in module VI.1?• How would the result change in case weighting is conducted and would this be relevant for your country?
Inputs for roadmap development in module VI.1	<ul style="list-style-type: none">• The roadmap development in module VI.1 will be based on findings made in previous modules.• The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module III.3: Appraising adaptation options

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element B, Step 3: Reviewing and appraising adaptation options. The NAP Technical Guidelines mention CBA as one of different ranking and prioritization methods on p. 77.

Learning objectives of the module

- Understand the steps involved in carrying out a Cost Benefit Analysis (CBA) of options (at the project level).
- Understand that the choice of the discount rate and the expected climate damage significantly influence the result of a CBA
- Reflect on the potentials and limits of CBA for appraising adaptation options.
- Learn how you can use CBA practically in the context of the core elements of the NAP process.

How to tailor the module to the country context

The exercise is designed for a case of dam construction for agricultural irrigation. This will fit to many but not all countries of application. An adjustment to other cases will require changes of the Excel chart which might be managed only by trainers who are well familiar with CBA. Even if not adjusted to a concrete country context, the exercise might convey a general understanding of the potentials and limitations of CBA.

Material needed

- PPT III.3
- 4 notebooks with the Excel file for CBA calculation.
- 4 A3 papers with the chart as shown in figure III.3.2 but without the green curve, pens

NAP Country-level training

Duration

- 70 minutes

NAP Country-level training

Intro (25 min.)	Module Module intro ppt <ul style="list-style-type: none">• Introduce the module with a playful discussion:<ul style="list-style-type: none">• What do you prefer: To have 100 US Dollar today or in 5 years?• Why?• Explain the concept behind the discount rate:<ul style="list-style-type: none">• The pure rate of time preference reflects an impatience to consume now rather than later. This phenomenon is called time discounting. The goods discount rate reflects the elasticity of marginal utility of consumption. If consumption per person is growing, the marginal utility of an additional unit will be lower for the future (and richer) generations. Both rates combined are the general social discount rate.• Most countries have a discount rate that is used by the ministry of national planning of finance – The World Bank uses a discount rate of 10% for their projects. Add task description the way you decide to run it Additional items Show the excel slide in the plenary and explain the meaning of the different columns
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<p>Exercise / group work (20 min.)</p>	<p>Divide participants in max 4 sub-groups at random. All four sub-groups work on the same task but they will most likely come to different results which might be subject of the wrap-up.</p> <p>Ask the participants to perform the following steps:</p> <ol style="list-style-type: none"> 1. Go to folder “base case” <ul style="list-style-type: none"> • Identify the project duration (years) • Identify the discount rate in the base case • Identify and explain the discounted total benefit of the project • Identify and explain the discounted total cost of the project • Identify and explain the discounted net benefit of the project • When is the break-even point of the project? • Right answer: With 5% discount rate the break-even point is reached in year 2043. 2. Go to folder “discount rate” <ol style="list-style-type: none"> 1. The preset discount rate of this example is 0.1 or 10% (see Excel grid P1 – in yellow) 2. Reduce the discount rate gradually until you reach 0.03 and observe the consequences in column M (Cumulative Discounted Net Benefits). What happens to the break-even point while reducing the discount rate? 3. Right answer: With 10% discount rate the break-even point will never be reached. With 3% discount rate the break-even point is reached in year 2031. 3. Go to folder “climate impact year 15” <ol style="list-style-type: none"> 1. Now, we add climate change to the investment. In this example climate change reduces agricultural productivity starting in year 2029 and the discount rate is set to 5%. Climate change can reduce yield and/or net profit of the farmer: <ul style="list-style-type: none"> ▪ This will be reflected in reduced productivity for the status quo scenario without the project – we concentrate on this. ▪ It can also be that even with climate change the adaptation strategy does not fully eliminate the impact of climate change but the impact is less than that of the status quo 2. Economics of climate change adaptation studies produces impact estimates for different sectors that can be used for the analysis. The preset damage of climate change in this example is 0,3 or 30% (see Excel grid T17– in yellow) 3. Reduce the damage gradually until you reach 0% and observe the consequences in column O (Cumulative Discounted Net Benefits). What happens to the break-even point while reducing the climate change damage? 4. Right answer: With 30% climate damage the break-even point will now be earlier – 2035 – severity of climate change makes it more beneficial to have the project.
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NAP Country-level training

	<p>5. This can also be seen as a low regret adaptation option – with or without climate change the project is useful to the farmers.</p>
<p>Wrap-up (25 min.)</p>	<p>Guiding questions for wrap-up</p> <p>Which experiences have you made already with CBA? Which results have you come to (let participants present their answers to breakeven point in the base case, the adjusted discount rate case and the climate impact case)? Which cases did you identify where profitability will never be achieved? How sensitive is the method to assumptions? How would you judge the use of the method? What would be cases of useful application? How concrete does a project proposal have to be in order to apply a useful CBA?</p>

Module III.4: Mainstream adaptation into development planning

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element B, Step 5 focuses on mainstreaming (=integration) of climate change adaptation into national and sub-national plans. It identifies opportunities and constraints for mainstreaming including the assessment of capacities and stakes of actors relevant for mainstreaming. In so far, the step is connected to Element A, Steps 3 and 4 (reflected in module II.2).

Learning objectives of the module

- Understand how mainstreaming and political processes are interwoven.
- Understand the purpose of mainstreaming and how it works.
- Reflect on effectiveness of mainstreaming.

How to tailor the module to the country context

The following exercise should be focused on the country of application. This requires preparatory adjustments by the trainer. The exercise should use a development plan in the respective country into which climate adaptation will be mainstreamed. The development goals as listed in matrices III.4.1, III.4.2 and III.4.3 of the training manual should be brought in line with the relevant development plan. It is possible to link the exercise to the Agenda 2030's Sustainable Development Goals (see respective slides in the presentation), if the trainer considers this useful for the participants in the country of application. The key questions for mainstreaming as shown in the slide "Steps for mainstreaming adaptation" might also be adjusted to what is relevant in the country of application. In doing so, the trainer might consult

- existing development plans in the country;
- documents on climate change projections and impacts such as the National Communications;

NAP Country-level training

- documentation of previous NAP-GSP trainings (if any).
- [Gender and Climate Change Gender Action Plans \(ccGAPs\) or other national gender/social inclusion \(youth\) strategies and plans](#)

Detailed indication of relevant sources of information and weblinks is provided in table 2.

The exercise below focuses on a fictitious situation in the country of 'Adaptania' and should be understood as a 'fall-back option' in case it is not possible to tailor the exercise to the country context. And it may serve as 'food for thought' how an adjusted exercise might look like.

Material needed

- PPT III.4
- 3 pin boards showing matrices III.4.1, III.4.2 and III.4.3 each.
- Marker pens
- Handout 1

Duration

- 110 minutes

NAP Country-level training

Intro (25 min.)	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
Reading time (10 min.)	<ul style="list-style-type: none"> • The participants have to make them familiar with the comparably complex background situation as provided by the exhibit in the manual. • Allow them 10 min. reading time. • Answer any questions which might arise during reading.
Exercise / group work (40 min.)	<ul style="list-style-type: none"> • Divide participants in 3 working groups along the sectors agriculture, health and infrastructure. Allocate them to groups according to their interest. • Assign each group to work in joint discussion on the relevant matrices III.4.1, III.4.2 or III.4.3. • The goals reflected in the matrix have been extracted from Adaptania's National Development Plan. • Let the participants organize their own process but ensure that they document their findings. • Give them a signal 10 min. prior to the end so that they comply with the time frame given.
Wrap-up (35 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • What development goals are particularly sensitive for climate change impacts? • Do you expect that some goals have to be adjusted in light of climate change? In which way? • Which adaptation strategies did you identify for mainstreaming in respect to substantial matters? • Which actors are relevant for which adaptation options? <u>Think also of gender/youth/social inclusion issues.</u> • Which mechanisms of linking development planning and adaptation do you consider relevant (use the categories of module 1.3 such as general mainstreaming, joint implementation, ensure consistency among goals etc.)? • Where would you expect strongest conflicts during mainstreaming? • Which conclusions would you draw for the roadmap to be developed in module VI.1?
Inputs for roadmap development in module VI.1	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module IV.1: Developing capacities for National Adaptation Planning

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
<i>II.1 Element A: Stocktaking</i>
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
<i>VI.1 Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element C, Step 3 focuses on how to maintain and enhance technical and institutional capacities for long-term planning and implementation of adaptation at different levels. It also includes training on the NAP process. It builds on the stocktaking in Step A.2 which included also capacity assessment, and on Step A.3, which addressed capacity gaps.

Learning objectives of the module

- Understand how capacity development can enable adaptation planning and solve problems.
- Appreciate the central role of skills development.
- Learn about some practical examples that could inspire action in your country.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. Adjusting other materials (e.g. ppt slides) is not necessary.

Material needed

- PPT IV.1
- 1 pin board showing matrix IV.1.1
- Blank cards in different colours
- Marker pens

Duration

- 90 minutes

NAP Country-level training

Intro (20 min.)	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
Exercise / group work (35 min.)	<p>Type of exercise: Whisper group exercise</p> <ul style="list-style-type: none"> • Participants work in sub-groups of 2 – 3 with their direct neighbours. • They write their findings on cards. • Trainer collects cards and puts them into matrix on pin board. • Explain to participants that they don't have to develop cards for all fields; but emphasize that they should reflect institutional and individual capacities separately. • Illustrate the expected inputs into the matrix by reference to sample answers in the first line (in italic letters). Encourage participants to be very specific in the last column.
Wrap-up (35 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • What needs for capacities did you identify? • How did you differentiate needs for institutional and individual capacities? • Which approaches for capacity development did you identify?<u>(If not mentioned, ensure the issue of integrating gender into NAPs is discussed)</u> • Do they refer to institutional or individual capacities? • Was it possible to find capacity development approaches for all needs? • Where would you see special challenges in capacity development? • How to overcome them?
Inputs for roadmap development in module VI.1	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module IV.2: Financing adaptation

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element A, Step 4 suggests considering potential partners who can provide financial support for integrating adaptation and development. Element C, Step 2 focuses on implementation strategies, which also reflect necessary resources including finances.

Learning objective of the module

- Get introduced to the Climate Public Expenditures and Institutional Review (CPEIR) as a tool for tracking climate finance.
- Understand options and relevance of domestic and international sources for climate financing.

This module gives only a brief overview on climate finance for adaptation. GIZ, on behalf of BMZ, has supported the development of an entire Climate Finance Readiness Training (CliFiT)¹³. Please refer to this training course for more detailed materials about climate finance.

How to tailor the module to the country context

Exercise IV.2.1 introduces three adaptation projects which are briefly described on Handout 2. On Handout 3 different funding sources are introduced. Participants are asked to identify suitable funding sources for each project as a first screening before a more detailed selection would be done. Participants should base their choices on the country context and specific characteristics of the projects and funds. The information on the country context needs to be tailored to the country of application. The trainer might need to adjust the project examples or design new ones to ensure

¹³ For more information visit <https://www.clifit.org/>

NAP Country-level training

their relevance. For the handout, the trainer needs to check if a national climate change trust fund or similar financial mechanisms exists in the country of application, and if so, use it instead of the hypothetical Adaptania Climate Change Trust Fund. The trainer should also check the country's eligibility and the current status of activity of the different funds.

Material needed

- PPT IV.2
- Handout 2 with project descriptions and information on additional domestic financing sources
- Handout 3 with list of funds
- 2 pin boards showing matrix IV.2.1
- 1 flip chart showing the country context of Adaptania (if this country example is used)
- Marker pens

Duration

- 90 minutes

NAP Country-level training

Intro (15 min.)	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run the exercise
Exercise / group work (45 min.)	<p>Type of exercise: Matrix exercise</p> <ul style="list-style-type: none"> • Divide participants in 2 working groups. • Assign each group to work in joint discussion on matrix IV.2.1 for all three projects. • For each project they should choose one or more funding sources from the handout, as well as reflect on additional domestic financing sources. • They should base their choice on the country context, project characteristics and the criteria of the funds. Sample solutions are given below. However, depending on the country context, there are likely to be various possible solutions. It is more important that participants make sound arguments for their choices than picking the fund identified in matrix IV.2.1 as most suitable. • Let the participants organize their own process but ensure that they document their findings. • Give them a signal 10 min. prior to the end so that they comply with the given timeframe.
Wrap-up (30 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • As a start, each sub-group briefly presents their results. • Which financing sources did you choose for Projects A, B, C? • Based on which project characteristics and criteria did you choose them? • Are there multiple funding sources appropriate for some projects? • How can domestic sources complement international financing of projects? • How does this step relate to the overall NAP process? • Could activities to foster mainstreaming adaptation also be financed from international sources?
Inputs for roadmap development in module VI.1	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Suggested solutions for exercise IV.2.1

NAP Country-level training

The solutions suggested in the table are for the hypothetical country of Adaptania. If the module is customized to the country of application, the trainer should check if the country is eligible for the respective funds and make changes accordingly. For the last column (Additional domestic financing sources) there are no predefined solutions. Appropriate sources to mention here will vary from country to country. Participants are encouraged to take additional domestic financing sources into account, and not solely rely on external funding sources when thinking about financing adaptation.

Country context

Adaptania:

- is a least developed country,
- is not a Pilot Program for Climate Resilience (PPCR) pilot country,
- has national focal points for the Adaptation Fund (AF), the Green Climate Fund (GCF) and the Global Environment Facility (GEF),
- has existing cooperation for national projects with UNDP and UNEP,
- has already received for funding for projects in the past:
 - \$9 million from the Adaptation Fund,
 - \$29.5 million from the Least Developed Country Fund,
 - \$4 million from the Special Climate Change Fund (SCCF)

Matrix IV.2.1 Screening of suitable financing sources

Adaptation project	Criteria for choice	Potential funds (preferred choice in bold)	Additional domestic financing sources
Project A: Adapting to climate change in the agricultural sector	<ul style="list-style-type: none"> • Adaptania is not a PPCR pilot country. • Project size exceeds LDCF and AF funding caps for Adaptania. • National Climate Change Trust Fund (NCCTF) focuses on agriculture 	<ul style="list-style-type: none"> • NCCTF • SCCF • GCF 	<ul style="list-style-type: none"> • Targeted transfers from national to local budgets (according to sub-national needs) • ...
Project B: Adaptation through better water supply and sanitation	<ul style="list-style-type: none"> • Adaptania is not a PPCR pilot country. • Project size exceeds LDCF funding cap for Adaptania. • Water management is among the AF's priority sectors. 	<ul style="list-style-type: none"> • NCCTF • AF • SCCF • GCF 	<ul style="list-style-type: none"> • Fees/charges (e.g. for continuous water supply services) • ...
Project C: Climate resilient road infrastructure	<ul style="list-style-type: none"> • Adaptania is not a PPCR pilot country. • Project size exceeds caps of NCCTF, AF and LDCF. • GCF: Combination of grants and loans possible. 	<ul style="list-style-type: none"> • SCCF • GCF 	<ul style="list-style-type: none"> • Regular national budget (co-financing with large external fund possible) • ...

Module IV.3: NAP implementation

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element C of the Technical Guidelines is concerned with the design of implementation strategies of the national adaptation plans. The main outputs of Element C should be the development of: 1) a strategy for implementing the NAPs and 2) concrete activities to implement priorities identified in the NAPs. This module helps to reflect on the difference between formulation and implementation of national adaptation plans. It builds on Module II.2 (Institutions for NAP).

Learning objective of the module

- Discuss the importance of both top-down and bottom-up approaches in implementation
- Identify the difference between NAP formulation and NAP implementation
- Appreciate a practical way in which to solve problems in implementation

How to tailor the module to the country context

The exercise is designed as an integral part of the PPT presentation and aims at encouraging participants to undertake an analysis of potential barriers to NAP implementation in a real-case situation as well as reflecting upon effective ways of overcoming selected challenges. Guiding questions for wrap-up allow tailoring the discussion to the country context.

Material needed

- PPT IV.3
- BTOR
- 1 pin board to show Matrix A
- Marker pens

Duration

- 90 minutes

NAP Country-level training

<p>Intro (20 min.)</p>	<ul style="list-style-type: none"> • Module intro PPT • Video projection (5 minutes) Please note that there is a full (11min) and a short (5min) version of this video available in the training materials. (Link to the full video https://www.youtube.com/watch?v=AnGDdxF_OI4) • One possible question (optional) to ask to participants after the video projection: <i>From the case study what were the main NAP elements that helped to strengthen community resilience to floods?</i>
<p>Exercise / group work (40 min.)</p>	<p>Type of exercise: Group-work Matrix exercise</p> <ul style="list-style-type: none"> • Divide participants into 3 or more working groups (5 people per group) • Distribute BTOR to each individual in the groups • Assign each individual to read the BTOR (5 minutes) • Ask the participants to identify and highlight the key challenges to climate centres implementation from the BTOR • Assign each your group to discuss the challenges and possible solutions by using Matrix IV.3.1 • Ask each group to present exercise results in plenary • Discuss in plenary the actual results of the BTOR
<p>Wrap-up (30 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • By using the Malawi example, try to see whether a truly top down or bottom up approach was applied. What happened in this case? Where the pitfalls can be located? • What can be learned about the interplay between NAP formulation and implementation phases? • What can be done to ensure the effective delivery of adaptation results on the ground? • Can you provide an example of top-down, bottom-up or integrated adaptation approach from your country experience?

Module V.1: M&E of climate change adaptation in the NAP process

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 <i>Element A: Institutions for National Adaptation Planning</i>
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 <i>Element B: Develop and select adaptation options</i>
III.3 Element B: Appraising adaptation options
III.4 <i>Element B: Mainstream adaptation into development planning</i>
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 <i>Element D: NAP as a living document</i>
VI.1 <i>Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element D, Step 1 defines a monitoring and evaluation framework for the NAP process, and leads to the definition of specific metrics to be used in collecting data. The data would be collected throughout the NAP process, and analysed as necessary to guide a flexible and effective evaluation of the NAP process.

A further relevant reference leads to Step A.3.A, which focuses on enabling capacities (see module II.2) and suggests also the development of a specific M&E system for capacity.

Learning objectives of the module

- Understand importance and challenges of M&E in the NAP process.
- Learn about different approaches for M&E.
- Learn how to develop adaptation-specific indicators and how to operationalize M&E.

M&E supplement to the Technical Guidelines

In December 2015 GIZ and IISD in cooperation with the LEG and the Adaptation Committee published a **guidebook** for the development of national adaptation M&E systems. The guidebook acts as supplement to the NAP Technical Guidelines. Trainers should familiarize themselves with the guidebook in order to be well prepared. The guidebook also provides a useful introduction to the topic of adaptation M&E. It is available for download on www.AdaptationCommunity.net.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. The selection of sectors and key areas for which indicators are being developed will be done by the participants. The trainer should get orientation prior to the training to be able to

NAP Country-level training

support the participants if needed. The following documents provide information on relevant adaptation sectors:

- National climate change strategies;
- NAPAs;
- Risk and vulnerability assessments (e.g. summarized in National Communications)
- INDCs

For specific information, please consult table 2.

Material needed

- PPT V.1
- 2 pin boards showing matrix V.1.1
- 2 pin boards showing matrix V.1.2
- Completed pin boards of previous exercises III.2 and III.4
- Blank cards in different colours
- Marker pens

Duration

- 75 + 60 minutes (full duration for both steps)

Step 1: Define key areas for monitoring / drafting indicators

<p>Intro (25 min.)</p>	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it
<p>Exercise / group work (25 min.)</p>	<p>Type of exercise: Card based matrix exercise</p> <ul style="list-style-type: none"> • Divide participants in 2 working groups. • Assign each group a slightly different focus: Group 1 may develop indicators for adaptation in the sector of agriculture, group 2 for the water sector. • Instruct them that they should select areas to be monitored from the exercises III.2 and III.4. Install the completed pin boards of these exercises in the training room. • Let them organize their own process but ensure that they document their findings. • Give them a signal 10 min. prior to the end so that they comply with the time frame given.
<p>Wrap-up (25 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Which indication areas did you identify? • Which concrete indicators would refer to it? • Did you find indicators for the two types (CC impacts – responses)? • For which type was it more difficult to find indicators? Why? • How far are adaptation indicators different from 'normal' development indicators? • Are the indicators in line with the SMART rule (identify examples where you have doubts)? • <u>Are relevant indicators gender-sensitive? For example, indicators sometimes refer specifically to people or types of people (e.g. percentage of farmers, number of vulnerable stakeholders) etc. Can these indicators be revised to show the difference for men and women using sex-disaggregated data (e.g. percentage of farmers disaggregated by sex; number of vulnerable stakeholders disaggregated by sex? Note: other variables may important to consider in indicators (e.g. age, socio-economic group, etc.).</u>

Step 2: Institutional set up for M&E

<p>Exercise / group work (30 min.)</p>	<p>Type of exercise: Card based matrix exercise</p> <ul style="list-style-type: none"> • Participants remain in 2 working groups as formed in step 1. • As a first step, transfer the cards from the first column in the matrix V.1.1 and put them into the first column of matrix V.1.2. • The participants work on the second and third columns for their respective sectors. • Let them organize their own process but ensure that they document their findings with marker pens in the matrix. • Give them a signal 10 min. prior to the end so that they comply with the time frame given.
<p>Wrap-up (30 min.)</p>	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none"> • Which actors did you identify for your sector? • How many actors will be involved? Is there a need for coordination? • How will data exchange be ensured / supported? • Who will use the data? • How to ensure that collected data are used and reflected in (political) decision making and that they support learning? • Which cases did you identify where data could be taken from existing collection systems? • Could you identify cases where an existing monitoring system can be used (at least partly) for parts of the NAP M&E system? • Could these data be used without changes? If not, which changes would be necessary? • What work needs to be done in the context of the NAP process to improve the institutional set up of the M&E system in your country? • Which conclusions would you draw for the roadmap to be developed in module VI.1?
<p>Inputs for roadmap development in module VI.1</p>	<ul style="list-style-type: none"> • The roadmap development in module VI.1 will be based on findings made in previous modules. • The trainer should continue the list of take away points to be revisited during exercise VI.1 and add further points during this wrap up.

Module V.2: NAP as a living document

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

Element D, Step 3 includes activities that support the updating of the NAPs on a periodic basis, thus guaranteeing the continuity of the NAP process. An important outcome of these activities would be the gradual alignment of the updates of the NAPs with relevant development progresses and potential new framework situation, e.g. in respect to climate impacts. Results of M&E will be reflected during updating – insofar Steps 1 and 3 of Element D are closely interrelated.

Learning objectives of the module

- Understand the iterative character of NAP planning and implementation.
- Get sensitized for the need for regular revision.
- Reflect reasons and frequency of revision.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. The ppt should be supplemented by an example which fits to the country of application. You can find appropriate examples in the NAP Technical Guidelines.

Material needed

- PPT V.2
- 1 pin boards showing matrix V.2.1
- 6 blank cards in different colours for each sub-group
- Marker pens

Duration

55 minutes

NAP Country-level training

Intro (15 min.)	<ul style="list-style-type: none">• Module intro ppt• Add task description the way you decide to run it
Exercise / group work (15 min.)	<p>Type of exercise: Whisper group with card collection.</p> <ul style="list-style-type: none">• Divide participants in sub-groups of 2 or 3 (direct neighbours).• Disseminate cards and marker pens.• Invite each sub-group to write appr. 2 cards for selected changes in the country, 2 cards for possible adjustments in the NAP process and 2 cards on the timeframe for revision.
Wrap-up (25 min.)	<p>Guiding questions for wrap-up</p> <ul style="list-style-type: none">• Collect the cards and place them into matrix V.2.1 by briefly commenting on them.• Which of the assumed changes would require significant changes of the NAP process?• How difficult is it to accommodate these adjustments?• At what time frames might revisions become necessary?• How would that relate with typical periods of politics (election periods, planning periods)?

Module VI.1: Roadmap development¹⁴

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 Process overview on NAP
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 Element D: NAP as a living document
VI.1 Roadmap development
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The NAP process involves many sectors and stakeholders of the society. A NAP roadmap or work plan would define and bundle the necessary activities for integrating adaptation into development and budgeting at all levels. This idea is explained in detail in chapters 1 and 2 of the NAP Technical Guidelines

A concrete reference to a roadmap is given in Element A, Step 1 of the NAP Technical Guidelines (Initiating and launching the NAP process), which requires that within the launching process also the definition is needed, which steps have to be undertaken within the NAP process.

Chapter 8 of the NAP Technical Guidelines introduces so called ‘workstreams’ which help to organize all activities under certain task clusters such as ‘Adaptation capacity and enabling environments’, ‘Monitoring and evaluation’, ‘Interfacing with policy and decision-makers’ and ‘Integrating climate change adaptation in national planning’. The workstreams might provide inputs for the roadmap.

Learning objectives of the module

- Get to know different coordination structures for national adaptation planning.
- Learn about key elements of roadmaps.
- Understand how to condense key findings of previous steps into a consistent roadmap as guidance for the concrete NAP process.

¹⁴ This module will be in many trainings and is the key space for taking the work one step further. It is very demanding for participants and there should be enough time reserved for the module.

NAP Country-level training

- Draft ideas for the 'real' roadmap development after the training.

How to tailor the module to the country context

The exercise is designed in a way that it already focuses on the individual situation in the country of application. Adjustments of further materials (e.g. PowerPoint slides) are not necessary. Trainers are encouraged to print out the parking lots notes from other sessions in order to facilitate this exercise. Another option would be for the trainer to prepare a draft roadmap based on discussions of the previous sessions.

Material needed

- PPT VI.1
- 2 pin boards showing matrix VI.1.1
- Marker pens
- All 'parking lot' brown papers, preferably pinned at the walls of the training room.

Duration

- 160 minutes

NAP Country-level training

<p>Intro (25 min.)</p>	<ul style="list-style-type: none"> • Module intro ppt • Include in the intro a recapitulation of an existing NAP roadmap or roadmap elements • Include in the intro a summary of the 'parking lot' brown papers and invite participants to refer to these points during the exercise • Add task description the way you decide to run it • It is important to remind participants at this point to make use of the existing work. This should be done in plenary because the points noted on the parking lots may be relevant for more than one group • Note: The discussions about the roadmap are more effective if there is a third person compiling the main conclusions in each group. This third person could be the trainer, the co-trainer or someone from the hosting partner institution. They will not participate in the discussions, but only help to write down the results.
<p>Exercise / group work part 1 (15 min reading time, 45 min. group work)</p>	<p>Type of exercise: Matrix exercise.</p> <ul style="list-style-type: none"> • Divide participants in 2 working groups based on sectors represented in the training. • Provide a 'reading' slot of at least 15 min. during which the participants re-consult all 'parking lot' brown papers developed during previous modules. • Invite the participants to develop an appropriate structure for the roadmap in the first column of matrix VI.1.1. • Encourage them to use the list (six bullet points) of areas potentially relevant for the NAP process in chapter 2.1 of the NAP Technical Guidelines as 'food for thought' but make clear that they are invited to develop a non-prescribed structure according to what they consider relevant for their country. • Let them organize their own process but ensure that they document their findings. • Give a signal 10 min. prior to the end so that they comply with the time frame given.
<p>Exercise / group work part 2 (30 min. group work)</p>	<ul style="list-style-type: none"> • Keep the working group structures from part 1. • Invite participants to develop under each chapter several but at least one tasks to be conducted. • Let them reflect also who should have the main responsibility for the tasks mentioned.

NAP Country-level training

Wrap-up (45 min.)	Guiding questions for wrap-up <ul style="list-style-type: none">• Invite a speaker of each sub-group to briefly present main findings to the plenary (5 min each). Then enter into a structured debate along the following guiding questions:• How would you explain deviations among the two sub-groups? What are pros and cons of the selected options?• Do you see tasks of special importance?• Which identified responsible institutions have an overarching responsibility? Which can be considered secondary actors?• Which further steps are needed after the training to convert this first draft of a roadmap into a well-accepted and mandatory guidance for your NAP process?
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Module VI.2: Transfer into daily work

I.1 Essentials of adaptation to climate change
I.2 Conceptual understanding of the NAP process
I.3 <i>Process overview on NAP</i>
I.4 NAP Chat
I.5 Getting to Yes: Negotiating agreement without giving in
I.6 Gender and NAP
II.1 Element A: Stocktaking
II.2 Element A: Institutions for National Adaptation Planning
III.1 Element B: Climate information for risk & vulnerability assessments
III.2 Element B: Develop and select adaptation options
III.3 Element B: Appraising adaptation options
III.4 Element B: Mainstream adaptation into development planning
IV.1 Element C: Developing capacities for National Adaptation Planning
IV.2 Element C: Financing adaptation
IV.3 Element C: NAP implementation
V.1 Element D: M&E of climate change adaptation in the NAP process
V.2 <i>Element D: NAP as a living document</i>
VI.1 <i>Roadmap development</i>
VI.2 Transfer into daily work

Other modules with related content, which could be included in the training

Reference to NAP Technical Guidelines

The main purpose of the NAP Technical Guidelines is to support practical and effective adaptation processes in the countries. In line with that, this training aims at supporting the concrete day-to-day work of participating participants rather than providing general knowledge.

Learning objectives of the module

- Transfer what has been learnt into your daily work.
- Identify challenges you may encounter in your daily work.
- Explore how to overcome challenges.

How to tailor the module to the country context

The exercises are designed in a way that they already focus on the individual situation in the country of application. Adjustments of further materials (e.g. PowerPoint slides) are not necessary.

Material needed

- PPT VI.2
- 2 beamers and 2 screen
- Flipchart with rules for peer-to-peer support
- 2 blank pin boards for documenting results of the peer-to-peer support
- 1 pin board with matrix VI.2.2
- Blank cards in different colours
- Marker pens

Duration

90 + 45 minutes (full duration of both steps)

Exercise 1: Peer-to-peer advice

<p>Preparation (the day before)</p>	<ul style="list-style-type: none"> • 2 volunteers to be identified for presenting a challenging and NAP related case from their day to day work. • The trainer discusses the case to make sure that it is condensed to one clear and NAP related question to which the volunteer seeks advice. • The volunteers might prepare for their presentation of the case; they even can use PPT slides if appropriate.
<p>Intro (15 min.)</p>	<ul style="list-style-type: none"> • Module intro ppt • Add task description the way you decide to run it <p>Additional items</p> <ul style="list-style-type: none"> • Rules of peer-to-peer support
<p>Exercise / group work (65 min.)</p>	<p>Type of exercise: Peer-to-peer support</p> <ul style="list-style-type: none"> • Volunteers present their cases in 2 groups (15 min.). • Participants ask questions to the volunteer to understand the case completely (15 min.). • Participants deliberate on possible solutions with the volunteer absent (15 min.). • Participants provide advice to the volunteer based on what they have learned during the course (20 min.). • The volunteer will discuss the advice with the group and draw conclusions for his / her work.
<p>Wrap-up (10 min.)</p>	<p>Wrap-up will not be guided through questions by the trainer. Rather, each volunteer (case provider) presents briefly in the plenary on:</p> <ul style="list-style-type: none"> • What advice did I get? • How can I use that in my day-to-day work?

Exercise 2: Individual reflection and whisper group discussion

Exercise / group work (30 min.)	Type of exercise: Individual reflection and whisper group exercise <ul style="list-style-type: none">• Each participant identifies individually 3 key learning messages and specifies when and how he / she wants to implement it and which obstacles he / she expects. The participant writes the findings into the Manual.• The second round will be conducted as whisper group (with direct neighbour). The participant specifies in the discussion, which detailed action, he / she wants to take and how he / she might overcome possible obstacles.• The participant writes the findings on cards.
Wrap-up (15 min.)	<ul style="list-style-type: none">• The trainer collects the cards and pins them on the matrix scheme VI.2.2.• He or she picks out selected actions and invites the respective participant to briefly present it to the plenary.

Part III: General instructions for successful adult learning and for methods applied

In a nutshell: Tips and hints for interactive trainings

- As a trainer talk less. Apply the **10:50:40 rule**: 10% theoretical input, 50% active interaction / case work / working groups, 40% discussion, reflection, conclusion and transfer to participants' reality.
- **Mobilize the participant's creative energy and knowledge**, and open space for the active interaction of all. Take your participants seriously. Nobody knows everything (including yourself), but everybody knows something. Your participants have much experience and want to share their views with others.
- **Facilitate** the exchange of information and problem solving **by means of dialogue**: among you and the participants, and among the participants themselves. Adults can learn well - and much - from dialogue with respected peers. Do not force your view on to the participants.
- **Motivate by means of questions** that stimulate curiosity and exploration. Formulate questions for group work carefully and precisely. Take orientation for the questions from the module instructions.
- **Give clear instructions for exercises** and ask whether further clarifications are necessary.
- **Set an appropriate level of difficulty/complexity**. The degree of difficulty/ complexity should be set high enough to challenge participants but not to frustrate them. The instruction should predict and reward participation, culminating in success.
- **Listen before you talk**, in order to fully grasp the socio-cultural and professional background, the working situation, and the questions of your participants.
- As often as possible **pass on subject matter or methodological questions** directed at the trainer to the plenary or possibly a resource person. The same applies if the participants call on the trainer to solve a problem. He or she may want to refer to the rule of thumb: "If somebody has a problem he/she should take the responsibility to solve it".
- **Do not defend your procedures**, but be self-critical in the use of moderation rules and in the evaluation of your own function.
- Always **allocate precise and sufficient time lines for group work** or other tasks, and avoid abusing breaks for work.
- From time to time, certainly every morning, **provide an overview on where you are in the training programme**: recall the last topics or last steps in the learning process, and provide a look ahead into the program to follow.
- Always **provide sufficient time for exploring the findings of the working groups** in plenary. Respect the efforts they have invested. Ask the groups to provide backgrounds to issues visualized on matrices which are not self-explanatory.
- **Mix methods and create a good workshop flow** through proper sequencing. For example, having a phase of intensive group work followed by a plenary session capitalising on the group work, yet still demanding active participation. It also means mixing intellectual (cognitive), emotional and physical impulses. A day full of lecture and "always-the-same-style-working-groups" can be painful for both sides. Mix input/lecture, group work, discussion, brainstorming, mind-maps, buzz groups, games, role-plays etc. But keep in mind: form follows function. The module instructions indicate the didactical methods and reflect already a certain change of methodology.
- Use **"buzz-groups"** to encourage participants to better interact with each other. The module instructions already recommend certain settings for sub-groups.

NAP Country-level training

- **Watch out for group dynamics.** Not everybody feels comfortable with participatory processes. Workshop participants may come from an organisational culture where participatory dynamics are avoided rather than embraced. A potentially participatory process in a working group can be distorted when a dominant person imposes a leadership style. A chapter toward the end of this handbook provide tips on how to cope with such difficult situations. [Check that women and men both seem to be comfortable contributing. Sometimes some women \(or even men\) may be more comfortable contributing in small groups than in plenary.](#)
- **Keep a "bin" list.** When participants raise issues, which are outside the scope of the current topics or require more time than you have available, chart them on a "bin" or "unfinished business" list. You may hit these issues as the training progresses, or you can schedule time to return to these questions.
- **Do a review at the end of every training day,** at least in the middle of the training. Schedule time to do a quick review of your group process, the most important learning highlights and to take proposals for improving ways of running the next day (e.g. flashlight with two questions: what was good and helpful today? what should we do differently tomorrow?). Schedule the review for the last ten minutes of the day to avoid having it run into and take over too much time.
- Tell participants that you will do a **photo-documentation** and hand out the flipcharts and boards generated by the trainer and the group. This allows them to focus on the discussion rather than taking notes, and makes what they come up with feel like important work products. Keep track of the many flipcharts and boards generated throughout the training. Take pictures in every break, certainly at the end of every training day.
- **Be flexible but still open for positive surprises.** Participatory trainers have a leading role regarding the steering of the workshop process. But they will observe carefully if their assumptions of a certain method as part of a certain sequence of working steps will materialise. And if not they should be flexible enough to change plans. Being flexible also means throwing the ball back in the participants' court in order to jointly reflect on the best way forward.
- If possible, **work in a team of trainers.** Trainers have different personal characteristics, which are perceived, accepted and appreciated differently by participants. Being a trainer is very demanding and intensive. It requires phases of rest and reflection. While one trainer guides the group process, the other may reflect on the program details or the group dynamic and prepare the next step. And, trainers need feedback on performance and reactions of participants and themselves. Often, new materials are needed, cards have to be distributed or collected, a dialogue needs to be visualized or several working groups to be supervised. If you can't have a co-trainer, insist on having at least an event assistant who supports you throughout the entire training. [It is also suggested to have a good gender balance on the training team if possible.](#)

How adults learn

Part of being an effective trainer involves understanding how adults learn best. Compared to children and teens, adults have special needs and requirements as learners:

- Adults know already a lot. Adults have accumulated a foundation of life experiences and knowledge that may include work-related activities, family responsibilities, and previous education and training. They need to be able to integrate new ideas with what they already know if they are going to keep - and use - the new information. The trainer's job is to mobilize the participant's knowledge first, before they add new information to it, and to provide opportunities to discuss and reflect new knowledge and to adapt it to individual circumstances.

NAP Country-level training

- As do all learners, adults need to be shown respect. Trainers must acknowledge the wealth of experiences that adult participants bring to the training. These adults should be treated as equals in experience and knowledge and allowed to voice their opinions freely in the group.
- Adults are autonomous and self-directed. They need to be free to direct themselves. Trainers have to be sure to act as facilitators, guiding participants to their own knowledge rather than supplying them with facts. They serve as facilitators for the participants' own learning process and must actively involve and reflect their interests in the design of a training. They should allow participants to assume responsibility for presentations and group leadership.
- Adults are goal-oriented. Upon enrolling in a training, they usually know what goal they want to attain. They, therefore, appreciate an educational program that is well organized and has clearly defined elements. Trainers must show participants how a training will help them attain their goals. This classification of goals and course objectives must be done early in the training.
- Adults are relevancy-oriented. They must see a reason for learning something. Learning has to be applicable to their work or other responsibilities to be of value to them. They may not be interested in knowledge for its own sake. Therefore, trainers need a sound understanding of the participants' motivation and needs and they must continuously try to harmonize content and design of a training with the life and work context of the participants. They should make participants think about the practical application of the newly acquired knowledge at his/her work place: Possible benefits, preconditions, difficulties, resistances and how to deal with them.
- Adult learning refers mostly to behaviour changes – to be able to do something better or differently than before. This needs action-oriented training methods combined with intensive feedback by the trainer or the other participants.

What we remember

Adults remember only 10% of what they read (e.g. in newspapers, in power point slides - if information is not presented spoken as well). They remember twice as much of what they hear. But this is still only 20% of the information. Things that are said *and* shown will be remembered fifty-fifty. That is one reason why trainers should talk about the issues and visualize or show them at the same time as much as possible. Also interesting for trainers is that adults remember 70% of what they say themselves.

Finally, adults remember best what they *say and do!* As a consequence, involve participants as much as possible into active group work and let them work with and plan their own cases and projects. Speaking, hearing, and seeing should be complemented and enhanced by doing.

NAP Country-level training



10 % of what we
read



20 % of what we
hear



30 % by what we
see



50 % by what we
hear and see



70 % by what we
say ourselves



90 % by what we
do ourselves

Roles and skills of a trainer

Teacher, expert or facilitator? A trainer needs to have a profound knowledge on the subject matter and its different components, but should not see himself or herself as master or lecturer only, but also as a facilitator, a „communication butler“ for the group. Beside the competencies as an “expert” he / she definitely needs specific facilitation skills and competences. The success of a training greatly depends on good facilitation, which is both, a skilful craft and a creative art. Good facilitators bring a group together, develop and balance its potentials in a non-dominating way. They are knowledgeable about the issues at stake without showing this off. Asking and formulating the right question at the right time and active listening are two of their most important tasks.

Trainers master a variety of techniques to enhance group dynamics and organize plenary sessions as well as group work in a well-planned, scripted way. Important skills and qualities of a trainer are summarized below:

NAP Country-level training

- **Interaction competence:** ensures effective communication and focused work in a relaxed and friendly atmosphere and, in turn, creates effective problem solving. Trainers should turn recipients who passively consume inputs supplied by a master into participants who share their ideas and outputs with others interactively. Trainers convince of a method not by preaching but by supporting participants to apply and to reflect on it.
- **Presentation competence:** supports general understanding and learning of new information. Includes participants- and learning-oriented “power point”-skills, and general rhetorical skills.
- **Visualization competence:** supports general understanding, and serves as an external memory of topics developed and results achieved. Trainers should possess drawing and handwriting skills, and acquire a sense for arranging space, structure, colours and other moderation or presentation elements to create an attractive learning environment.
- **Participation competence:** brings out the best in a group by means of cumulative learning which all individuals contribute to. Good trainers make participants feel that “Nobody knows everything but everybody knows something”. They set the tone of the event, trust in other people’s intellectual and creative potential, avoid that there are winners and losers in a group, and respect the ideas, opinions and practices of others.
- **Dramaturgic competence:** arranges an event alternating between suspense and thrill, group and plenary sessions, experience and cognition. Trainers need to be able to flexibly adapt and modify moderation and visualization methods and sequences of steps, according to the group’s dynamic and needs, time, space, and other frameworks conditions that have an influence on the design of the training.
- **In a nutshell:** We see the trainer less like a teacher or expert and more like a **facilitator of learning processes**. This fits very well with the trainer sharing his/her knowledge and experiences (e.g. through inputs and presentations), but only as part of an interactive learning design and not in a way that places the trainer’s knowledge and experience in the spotlight.

What makes a good trainer?

A good interactive trainer...

- Prepares both content and process, including a clear set of teaching/learning objectives, guiding questions, follow-up questions, and closing comments;
- Listens thoughtfully throughout the class discussion;
- Actively manages class flow and structure, while responding flexibly to participants’ comments;
- Poses challenging questions, cold/warm calls (cold: without pre-class hint for the participant), and follow-ups to promote high quality class discussion;
- Stimulates thoughtful student-to-student discussion and encourages participation from a broad range of students;
- Draws on student background information in guiding the class discussion;
- Provides appropriate closure / conclusions to discussion segments and sessions.

Dealing with difficult situations

Each ‘real’ training situation will be confronted with certain challenges. These might include

- Time constraints,
- Dominant participants,
- Chronic complainers,

NAP Country-level training

- Chatty members,
- Attention-seeking,
- Unusually quiet group members,
- Meandering discussion.

There are several techniques how to respond to these challenges:

- Timing / schedule
 - Have a clear time schedule but be flexible to change it if unavoidable.
 - If you notice that participants want to address an issue not included in the agenda, try to find some space. Clarify where to take the time from.
 - Provide for slots of spare-time.
 - Create 'parking lots' for issues to be discussed later. Visualize them.
 - Be courageous to skip issues.
- Group dynamics
 - Provide clear rules and instructions for certain training situations.
 - Alternate group composition to avoid encrusted group dynamics.
 - Allocate rotating roles among participants e.g., as facilitator, recorder, reporter, observer, timekeeper.
 - If problematic behaviour occurs: Address the behaviour, not the person.
 - Enable members with specific knowledge to give inputs / short presentations to the group.
- In general
 - Maintain a positive attitude: Do not fall into a common trap of channeling too much energy into the challenges posed by only one or two members.

Questions: key to unlocking new doors

Asking good, precise and intelligent questions that would help participants discover themselves and reflect on the situation is a manifestation of an effective trainer. Asking questions is a skill that every trainer should develop and master.

Through questions, experience and basic knowledge are mobilized. In a training, new steps in the group learning process should be opened by asking a carefully formulated and visualized question.

Types of questions

Basically, there are two types of questions: the **closed-ended** and the **open-ended questions**.

- **Closed-ended questions** are designed to recall facts or information. These questions may be one-word answers or answerable by yes or no. Asking closed-ended questions start with Is, Are, Am, Can, Do, Does, and modal verbs such as Would, Could, and Should.
 - Example: "Did you implement any NAPA?"
- **Open-ended questions** are designed to elicit more ideas and more elaboration from the person asked. It may seek to reflect or draw a conclusion. This is a preferred type of question to be asked when initiating a discussion, a conversation, and increasing participation from the team. Open-ended questions allow for a deeper understanding of the group's objectives and draw out a person's knowledge level.

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- Example: "What are main challenges in the NAP process?"

Questions of these two types can have different functions:

- Question to open a discussion (open): What were your main findings during your discussion?
- Control question (open or closed): What was the main point you took from that discussion?
- Alternative question (open): What other options could you imagine so solve the problem?
- Confirmation question (closed): Do you all agree that the NAP process should be flexible?

Active Listening - five key elements

Listening is one of the most important skills a trainer can have. How well he or she listens has a major impact on the training effectiveness, and on the quality of the relationship to the participants.

Active listening involves paying attention, withholding judgment, reflecting, clarifying, summarizing and sharing. And each listening skill requires several techniques or behaviours.

Table 3 - 1 – Active Listening – five key elements

Technique	Example
1. To paraphrase Repeat with your own words the last thing or main message the dialogue partner has said.	<i>„So you did not find adequate climate data“</i>
2. To mirror You express what feeling or attitude you perceive in your dialogue partner's statements.	<i>„It must have been quite frustrating to you to find no adequate solution“</i>
3. To summarize Summarize in one sentence a longer explanation.	<i>„So overall you faced quite a number of restrictions from the political level“</i>
4. To focus Select an issue of particular importance of what your dialogue partner has said and invite your partner to ‚dig deeper‘.	<i>„What was it in detail what made that decision so difficult?“</i>
5. To translate Express a hypothesis what the meaning of what you heard is.	<i>„It must have been a breakthrough to get finally the decision by the President“</i>
6. To inquire Ask open questions following your own curiosity starting with W-Questions (Why, Where, How, Who, What, When etc.):	<i>„Why was there so much resistance on the issue in your country?“</i>

Socratic method

The Socratic method is a teaching approach, which follows a question-and-answer format. The exploration of the case situations and / or findings of the participants take place mainly through subsequent questions by the teacher and answers by the participants. A guiding question by the teacher might be further specified by follow-up questions based on the first answers of the participants. The main course elements, where this takes place are the wrap-up sessions after each group work.

Underlying philosophy

- Much knowledge is inherent in the participants and can be made explicit through questions, links to other knowledge and critical reflection.
- The strongest and stable knowledge arises if it is not provided ready-made from outside but developed by the participant in an internal / group process.

Implications of Socratic method

- You need well-prepared guiding questions / use the guiding questions as proposed by this Handbook.
- You have to be spontaneous to follow the flow of discussion.
- You have to decide which issues should be further explored through subsequent questions and which should be left at the stage they are.

Methodical aspect of the Socratic method

- Cold call / warm call: teacher addresses a student at random / upon prior notice with certain questions.
- Open questions preferred.
- Hypotheticals: made-up situations that slightly change the facts.
- Distinction to 'exercises': Often, there is no single answer to a question.

Harvard Case Method

The Harvard Case Method is a well-developed and experienced approach for practice oriented, inter-active learning. Teaching is mainly based on the intensive exploration and discussion of particular case situations of relevance to the teaching objectives. This does not have to be necessarily one consistent case for the whole training but can also comprise practice oriented different case like elements, which are hand-tailored for each casework. For the NAP training, the case situations are mostly the real working challenges of the participants.

The Case Method stimulates active exploration and development of conclusions by the participant, rather than providing ready-made teaching messages. With this background, the Case Method has high relevance for the development of practice-oriented knowledge as required for people, which are actively involved in adaptation activities.

The exploration of the case situations takes place mainly in a question-and-answer format between the teacher and the participants. A guiding question by the teacher might be further specified by follow-up questions based on the first answers by the participants. This teaching method of posing subsequent questions is the **Socratic method** as explained above. The main course elements, where this takes place are the wrap-up sessions after each casework.

NAP Country-level training

For in-depth background reading of the Harvard Case Method it is recommended to read the following publication: *Making the Case*¹⁵.

Materials, preparations and other prerequisites for the Harvard Case Method

The Case Method requires intensive preparations prior to the course. Especially, case / training materials have to be elaborated to be handed out to the participants prior to the course. All necessary information for this course is provided through the Training Manual and the sets of ppt-slides further supported through this Trainer's Handbook.

The following rules are of great importance for a successful Harvard Case Exercise:

- The most important rule: Get clear what message you want to convey with the casework. Organize the whole casework in a way that this message comes through.
- Make yourself familiar with the expectations, needs and 'horizons' of the participants. Conduct the casework in a way that you are meeting the participants where they stand.
- In particular, reflect the practical experience and the type of work the participants are exposed to in their day-to-day work. Do not attach complex data if the participants are usually not confronted with such information but are involved in quite operational work. You may provide larger amounts of information if the participants are used to screen comprehensive sources for relevant information.
- Restrict yourself to that information which is relevant for the case.
- The casework should stimulate discussion and active examination of the subject.

Organization of casework

A successful application of the Harvard Case Method requires the following provisions in the course programme:

1. Provide the participants with the **training materials** prior to the course.
2. For case exercises with more complex background, you should allocate a particular timeframe in the training agenda for **individual reading** of the case by the participants.
3. Start each casework with a short (approx. 15 min.) **introductory lecture** (see prepared slides).
4. End the introduction with a very clear **instruction** on what the participants have to do during the casework.
5. Conduct the particular workshop session either in the form of a **groupwork**, where the participants co-operate quite self-contained (either in sub-groups of approx. 12 participants or in sub-groups of 2-3 persons each. The timeslots required for groupwork and wrap-up depend on the complexity of the exercise and are indicated for each session. Let the participants organise themselves and intervene only if you are asked so or if you feel that the work leads in a completely wrong direction.

¹⁵ Garvin, D.: Making the Case. Professional education for the world of practice. Harvard Magazine 2003. <http://harvardmagazine.com/2003/09/making-the-case-html>

NAP Country-level training

6. Allocate enough time for the **wrap-up session** (approx. 30 - 45 min.). Don't let the participants 'present' their results but organise the session along the guiding questions. The wrap-up session is the part where the *Socratic method* comes into play.
7. Ask the participants towards the end of the wrap-up session how far the main conclusions relate to their **day-to-day work**.
8. If time allows: present a short '**real-life example**' which illustrates how the specific teaching point of the particular casework (not more!) was handled in practice.

Action learning exercises

Beside the Harvard Case Method, selected elements of the action learning concept are being used in this course. Action learning is also a well-developed and broadly applied approach for adult education, which has similarities to the Harvard Case Method in so far, as it pursues an interactive, creative, group-based teaching approach.

The method stands in contrast with the traditional teaching methods that focus on the presentation of pre-defined knowledge and skills. Action learning focuses on research into action taken and knowledge emerges as a result that should lead to the improvement of skills and performance. In the centre of the educational process is the reflective exploration of either real-life actions of the participants or certain exercise type actions.

Resource materials and exercise descriptions for some of the exercises can be found in following publication:

*GIZ: The Systems Thinking Playbook for Climate Change. Eschborn 2011.*¹⁶

The action learning exercises are used during the course (e.g. in modules I.1, I.3 and III.1) for a more associative reflection of teaching messages. They play also an important role as energizers and, thereby, balance the somewhat more intellectually based group work of the Harvard Case Method.

You might wish to include further action learning exercises, especially those with a potential as energizer. Please consult the System Thinking Playbook as mentioned above and select appropriately.

Whisper groups

In general, the agenda of a whisper group exercise is composed similarly to those for the group work. You will provide clear instructions of work, let the participants work in sub-groups and finally explore the findings during the wrap-up session. The following specifics distinguish whisper groups from group works:

- You need less time for group formation and organization. Clearly indicate in which composition neighbours collaborate in sub-groups. All participants remain seated in the plenary and cooperate with their direct neighbour(s) through whispering.
- The sub-groups need less time for their group work. Usually a time frame of 15 min. is sufficient.

¹⁶

http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKEwiR_JP0seHMAhWJmBokHZg_CL8QFggiMAA&url=http%3A%2F%2Fstar-www.giz.de%2Ffetch%2F1j6lQ1l01X4Q4000g0%2Fgiz2011-0588en-playbook-climate-change.pdf&usq=AFQjCNHslnK9NIG7zRe2zkFZXoo04Zavgg

NAP Country-level training

- The sub-groups don't need prepared brown papers and pin board. Rather, they write their findings directly into the training manual or on cards.
- You don't need systematic presentations of findings of all sub-groups at the beginning of the wrap-up. Select a sub-group and ask them on some specific aspects / results of their work. Invite other sub-groups to add on or to indicate differing findings.

Instructions for presentations in the course

Principles of good presentation

The following rules are essential for presentations / lectures:

- Never extend a presentation over 30 minutes. This timeframe is the maximum if you want to keep up attention of the participants.
- Use the slide presentations as prepared for the course. All presentations are designed ever for a shorter period (appr. 15 min.) than indicated above.
- Remember that your slides are only there to support, not to replace your talk!
- Never read your slides, talk freely.
- Never let the audience read the text while being quiet.
- Point to key issues of slides (by laser pointer, hand)
- Know your slides inside out (if necessary use a print-out with notes for yourself).
- Speak with confidence – loud, clear, not too fast.
- Maintain eye contact with the audience.

Preparation of additional slides

The course materials include the collection of all necessary slides. It is possible to design additional slides if needed for a concrete course application. This could be the case if you which to refer to local cases or address contents of specific interest to your target group. When designing additional slides, follow the KISS rule:

KISS = Keep It Straight and Simple:

- On slides keywords only.
- No sentences.
- Use illustrations, photos, graphs etc. to visualize your message BUT:
- Don't overload your slides with different elements.
- Highlight take-home messages in boxes.

Visualization might not be limited through slides. Where ever appropriate, you might use flipcharts or blackboards, e.g. when highlighting key conclusions at the end of a session.

Concepts of visualization

Visualized information...

- Is easier to remember;
- Helps to create common understanding – leads to more precise discussion;
- Forces the teacher to focus on significant points;
- Supports explaining complicated ideas;
- Serves as external memory (minutes of meeting);

NAP Country-level training

- Helps participants identify with the results.

Rules of visualization

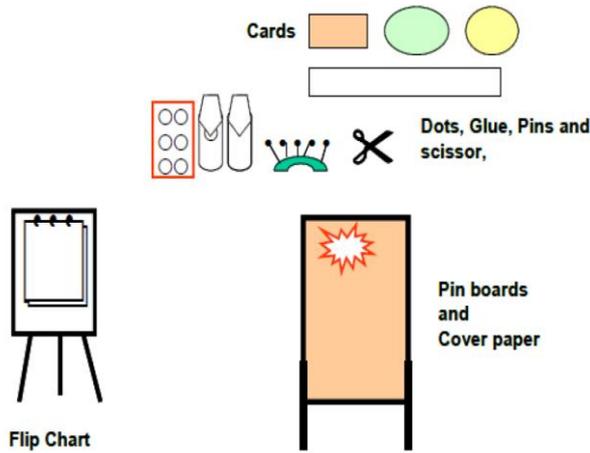
- Wherever you come to important conclusions and messages, visualize them on black / white boards, flip charts etc.
- You might also pose cards with key conclusions on the pin boards during wrap-up.
- When using moderation cards, observe writing rules:
 - Print words; do not use handwriting style,
 - Write big enough to be read at a distance,
 - Not more than 3 lines on a card,
 - Be creative in using colours, sizes and shapes of cards,
 - One idea, one card,

Materials needed for interactive trainings¹⁷

The following picture visualizes the materials needed for interactive training sessions (beside the materials as indicated in the subject-related modules of the Trainer's Handbook):

¹⁷ GIZ purchases all its training materials from **Hinrich Zieger mbH** (tele: +49 40 890 820 11; mail: info@zieger-online.de; website(only in German): <http://www.zieger-online.de/>)

Figure 3 – Materials needed for interactive trainings



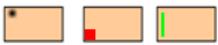
(Source: own elaboration)

In the following table the most commonly used materials are briefly described. In any case, the trainer should check the „Material needed“ sections of each module applied in a specific training, and verify with the organization responsible for preparing logistics for the training event in advance if the materials are available in sufficient quantity or if they can be purchased at local stores. Many training venues are also able to provide material, so it is advised to check with them directly if they can make needed material available. If there is a GIZ office in the city where the training takes place, it might be possible to borrow material from there. Similarly, local UNDP/UNEP/UNITAR offices might be able to make material available. Some of the listed materials may not be available at all from one of the sources mentioned above. For these cases, certain suggestions for what can be used instead are made in the last column of the table 4 below.

Table 4 – Material description and substitutes

Material needed	Description	Suggestions for substitutes
Marker pens	<ul style="list-style-type: none"> Thick pens, ideally in different colors 	

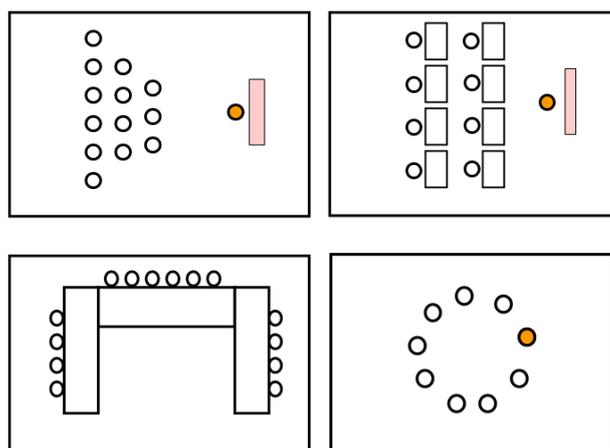
NAP Country-level training

Masking tape (crepe tape)	<ul style="list-style-type: none"> •Tape which is easy to remove and does not leave residue on the surface 	<ul style="list-style-type: none"> •Other type of tape, preferably tape which is easy to remove from paper
Pin boards	<ul style="list-style-type: none"> •Size of board area: ca. 150cm*120cm •Total height: ca. 190 cm 	<ul style="list-style-type: none"> •Let pin boards be built by a local carpenter •Tape paper on walls (caution: Check with venue if this is allowed). Then use tape to put cards on paper
Cover paper for pin boards	<ul style="list-style-type: none"> •Size: ca. 140cm*110cm, roughly corresponding to board area 	<ul style="list-style-type: none"> •Glue flip chart paper or other paper together to get similarly sized sheets
Pins	<ul style="list-style-type: none"> •Only needed if pin boards are available 	<ul style="list-style-type: none"> •Use tape instead
Flip chart stand with paper	<ul style="list-style-type: none"> •Paper size: A1 or similar 	<ul style="list-style-type: none"> •Tape paper on wall instead
Cards	<ul style="list-style-type: none"> •Blank cards in different colors or shapes (ideally six different types) •Rectangle: ca 10cm*20cm •Circle: ca. 10 cm diameter •or similar shapes and sizes 	<ul style="list-style-type: none"> •If insufficient different types of cards available, draw symbols on them to create different ones, e.g. 

Room arrangement: different settings and formats

The design of the classroom and the way people are placed inside have a great impact on the success of interactive trainings. Set-ups where people can see each other support interaction between participants. With this background, the two upper examples are less, the two lower examples more favourable.

Figure 4 – Room arrangements



(Source: own elaboration)

Opening a training

Participants of an interactive training spend an intensive time together, full of encounters and interactions at different levels. An introductory round at the beginning of the course will support this process, so that the participants start getting to know each other. There are different techniques for introductory rounds depending on the available time and the envisaged intensity of getting to know.

Room mapping

Explain that there is a virtual map on the floor of the training room. Indicate the extreme points of this map in respect to the following categories / questions:

Table 5 – Room mapping

Question	Extreme Points on the floor
Where do you come from?	Middle of the room: training venue. 4 sides of the room: north – south – east – west of present location.
Where do you work?	Extreme Points: 4 sides of the room: city administration – city politics – consultant/expert – NGOs.
What is your main field of work?	Extreme points: 4 sides of the room: Environment – other sector policies.
How far have you been involved in climate change issues?	Extreme points: 2 sides of the room: Very much – not at all.

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Let the participants find their position on the map according to these categories (requires sufficient space in the training room). After each positioning: Go around and ask some participants (not all) for details regarding the respective question. Ask others after the next question so that at the end of the room mapping everybody has had a chance to say some words about his / her background.

Paired interviews

Let the participants lead mutual interviews with their direct neighbour for 5 min. each along the following questions:

- Name & organization of your neighbour?
- Your neighbour's exposure to climate change issues so far?
- What does he / she expect from this training?

Let the interviewers make notes on their findings. Then each participant will introduce his / her neighbour to the plenary according to his / her findings.

Picture introduction

During registration of participants, keep ready a display of picture cards, which have to do with different aspects of climate impacts and climate adaptation actions. Let each participant select one picture card. During the presentation round, each participant is invited to give short statements to the following issues:

- Name and organization of participant.
- Exposure of participant to climate change activities so far.
- Why did the participant select the particular photo (show the photo)?
- Expectations to the training.

Evaluating a training course

An evaluation at the end of the training is important in order to

- Enable a certain quality review of the training courses and
- To gradually further improve the training based on experiences during practical performances.

There are different techniques of evaluation:

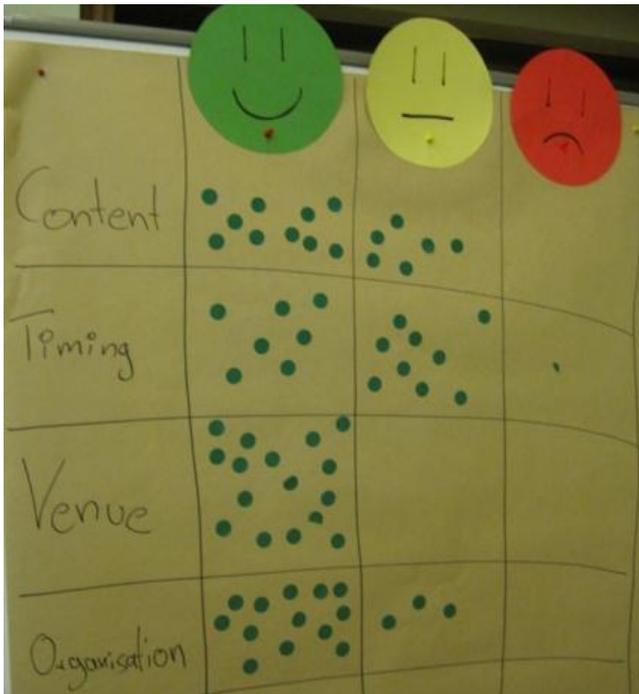
Smilies evaluation: This is a quite quick, illustrative but rough evaluation. You prepare a pin board according to the example as shown in the picture. Each participant receives dots according to the numbers of criteria and may mark his / her assessment in each category (see illustration below).

Flashlight evaluation: This is also a quick evaluation, which is a bit more interactive than the smilies evaluation. You invite every participant to give a short oral feedback to the following two categories, e.g.: What I liked and what could be improved. The facilitator visualizes the answers on a flip chart (or participants write cards to be pinned on the chart).

Questionnaire based evaluation: This is the most common way of evaluating a training course. Usually, the participants receive a prepared questionnaire towards the end of the course and are invited to use 10 - 15 min. for completion and return the questionnaire to the trainer. The evaluation form may comprise a multiple-choice part and a part for free comments.

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Post-course evaluation with the request to send the questionnaire back to the organizers have the advantage to reflect also impacts of the training into day-to-day work but suffer from usually poor return rates. A questionnaire as commonly used by GIZ is shown below.



(Source: UNITAR, 2015)

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(Source: GIZ, 2015)

GIZ Training Evaluation						
Dear participant!						
Your opinion is very important to us. Therefore we kindly ask you to fill in this questionnaire for us. Your comments and recommendations will help us to improve the GIZ training.						
Please rate each of the following categories between 1 and 6 and mark the corresponding column.						
(1=very bad, 2=bad, 3=regular, 4=good, 5=very good, 6=excellent)						
Categories	1	2	3	4	5	6
working method						
workshop contents						
moderation team						
group dynamics						
applicability in your working area						
degree of expectations met						
organisation, logistics, venue						
time-table						
In this part of the evaluation, you are kindly requested to give us your opinions and comments on the different aspects of the workshop.						
working method:						
workshop contents:						
moderation team:						
group dynamics:						
applicability in your working area:						
degree of expectations met:						
organisation, logistics, place:						
time-table:						
suggestions for improvement:						
Would you recommend the GIZ training to others?						

NAP Country-level training

Evaluating learning success: Pre and post self-assessment for NAP training

The following provides basic guidance for training providers in evaluating NAP training results, based on the application of a pre and post training self-assessment. While this approach is subjective it is in line with the Harvard Case Method which is being used for the NAP training, with its focus on a 'shared learning' rather than traditional 'teacher pupil' experience.

In general evaluations of training events are relatively subjective and carried out at the end of the event. This is also known as a Type 1 evaluation. More rigorous types of evaluation try to assess the potential impact of a training event by comparing the learner's level of understanding pre and post completion. Such Type 2 evaluations can be administered through a simple questionnaire linked to the learning objectives.

General learning objectives of the NAP country-level training

- Overall learning objective (OLO) 1: Improve individual understanding and awareness of National Adaptation Planning.
- OLO 2: Strengthen individual capacities to fulfil NAP responsibilities.
- OLO 3: Familiarize individuals with relevant NAP guidance, technical support, and sources of finance available to developing countries.

How to do the assessment

The assessment questions test understanding at a conceptual, procedural, or meta-cognitive level by comparing results pre and post training. Once a country has selected its preferred NAP modules and the proposed training event has been tailored to country context, the training provider identifies suitable assessment questions from the selection provided below.

These questions summarise and are derived from individual learning objectives for each of the 19 NAP training modules, listed in full below.

The trainer should select 8-10 questions from the list below, depending on the modules selected for the training. The selected questions, formulated as an 'I am able to ...' statement, are then inserted into the attached pre and post questionnaire excel sheet and issued to all participants.

Participants are asked to self-assess their knowledge against each statement using the following scale: 1 = weak; 2 = some; 3 = average; 4 = moderate; 5 = high. This self-assessment is completed at the beginning of the training, usually after the introduction to the course, and then again at the end. All learners are requested to complete both a pre and post assessment.

Analysis of results

Through the use of an excel spreadsheet, the assessment questions will generate specific data-sets, particularly:

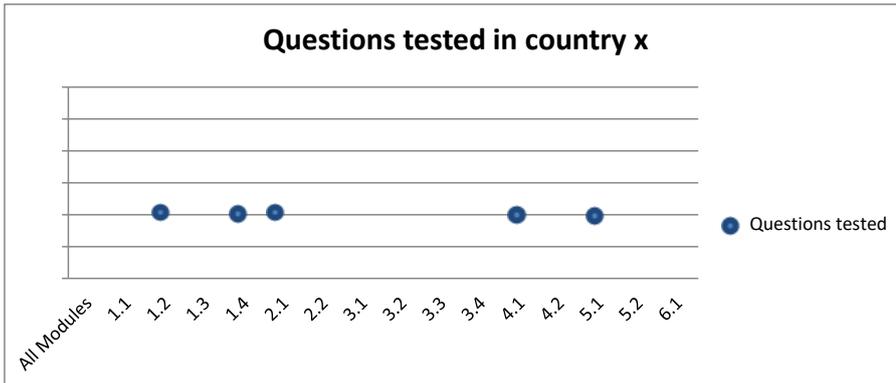
1. A 2-D line/mark graph showing modules and learning objective (LO)-related questions tested in different countries;
2. A bar chart presenting PRE and POST level of perceived knowledge per learning objective based on an aggregated score for all training participants;
3. A summary of the comments collected through questionnaires and short audio-visual interviews.

The data-sets analysis will be performed at the end of the training event and will allow on-going monitoring and tailoring of the assessment methodology.

NAP Country-level training

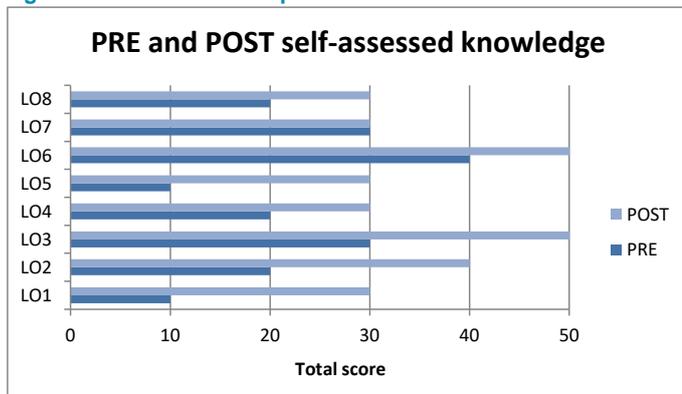
Figure 5 – Data-set 1 example

Data-set 1 example



(Source: UNITAR, 2015)

Figure 6 – Data-set 2 example



(Source: UNITAR, 2015)

Assessment questions

OLO 1: Improving my understanding

- I am able to state the main components of a NAP process and which components are the most relevant for my country, (refers to module I.2).
- I am able to state which are the most important NAP institutions in my country and what they roles should be, (refers to module II.2)

NAP Country-level training

- I am able to state the main institutional barriers to effective adaptation planning as well as ways in which to address these barriers, (refers to module II.2).
- I am able to explain to my colleagues why a NAP needs to be revised and updated on a regular basis, (refers to module V.2).
- I am able to identify the main components of a NAP Roadmap and which components are the most relevant for my country, (refers to module VI.1).

OLO 2: Strengthening my capacities

- I am able to identify all primary stakeholders that should be involved in the NAP process in my country, (refers to module I.4).
- I am able to apply a basic stocktaking tool to assess my country's adaptation planning needs, (refers to module II.1).
- I am able to apply a vulnerability and adaptation assessment methodology to help to design effective adaptation measures in my country, (refers to module III.1).
- I am able to describe how climate scientific information can be used to identify appropriate adaptation options, (refers to module III.2).
- I am able to state how to apply a basic cost/benefit analysis tool to an adaptation measure, (refers to module III.3).
- I am able to state ways in which the national budget in my country could be used to support the NAP process, (refers to module III.4).
- I am able to recognize the difference between institutional and individual capacities for national adaptation planning and identify the most important capacities needed in my country, (refers to module IV.1).
- I am able to apply an assessment methodology to identify individual and institutional capacity gaps for national adaptation planning, (refers to module IV.1).
- I can design clear outcome and output level indicators to monitor and evaluate the effectiveness of adaptation measures in my country, (refers to module V.1).
- I am able to state three ways in which NAP training can be used in my daily work, (refers to module VI.2).

OLO 3: Familiarisation with support

- I am able to contact regional and global support programmes to provide on-going assistance to my country in NAP development, (refers to module I.3).
- I am able to identify international and domestic sources of adaptation finance available to my country, (refers to module IV.2).
- I am able to identify ways in which my country can be successful in accessing adaptation finance, (refers to module IV.2).

Annex: Examples of tailored modules

Example 1 – NAP country-level training in Mauritania

A four-day workshop was held in Nouakchott (Mauritania) from the 13th to the 16th of April 2015. This brought together about 30 national experts from various sectoral ministries and departments as well as representatives of the parliament and women's networks. The training was delivered at the request of the Ministry of Environment and Sustainable Development by a team of trainers drawn from GIZ, UNDP, UNEP and UNITAR. The main objectives of the workshop were: 1) to enhance the understanding of the NAP process and the UNFCCC Technical Guidelines on NAPs; 2) to support an initial policy and institutional review to identify long-term capacity development needs for adaptation planning; 3) to help to develop a roadmap for advancing national adaptation planning in Mauritania.

During the Mauritania NAP training, module III.1 "Climate Information for risk and vulnerability Assessment" was delivered. The following exercise has been tailored to focus on the country of application. This required preparatory adjustments by the trainer:

- i. The trainer had to collect and review the main documents (NAPA, UNFCCC National Communications, National Development Plans, Sector Plans, National Adaptation Strategies) highlighting key climate risks, impacts and vulnerabilities for Mauritania as to identify the key factors determining vulnerability in the country and include them in the main presentation;
- ii. The exercise was tailored to address one of the most relevant climate hazards in the country (the risk of drought/*la secheresse*). In particular, country-specific climate information and maps were collected and included in the exercise;
- iii. The exercise was designed to support the participants in the identification of potential vulnerable areas in Mauritania to the risk of drought (Slide 1) and in the discussion of possible adaptation options. Specific background information was drawn from the Third National Communication of Mauritania to the UNFCCC 2014 (slide 2) and helped to fulfil the task;
- iv. Wrapping up questions were formulated in a way to stimulate discussions related to the country situation (e.g. How should the results of future vulnerability analyses in the context of the NAP process be used in Mauritania?).

NAP Country-level training

Picture 1 and 2 – Exercise delivery

Members from various Mauritanian sectoral ministries participate in interactive exercises and working group discussions on climate information for risk and vulnerability assessment in the context of Mauritania.



(Source: UNITAR, 2015)



(Source: UNITAR, 2015)

Example 2 – NAP country-level training in Lesotho

A two-day training workshop was organized in Maseru (Lesotho) on the 19th and 20th October 2015. The workshop brought together around 30 national experts from various sectors and departments, including Health, Water, Agriculture, as well as members of the National Climate Change Committee (NCCC), media representatives, academic institutions and civil society. The training was delivered at the request of the Ministry of Energy and Meteorology by a team of facilitators drawn from UNDP and UNITAR, with support from the NAP-GSP. The objectives of the workshop were: 1) to enhance the understanding of the NAP process and the UNFCCC Technical Guidelines on NAPs; 2) to support an initial policy and institutional review to identify long-term capacity development needs for adaptation planning; and 3) to help to develop a roadmap for advancing national adaptation planning in Lesotho. The design of the programme included numerous opportunities for group working with a minimum in lecture style teaching which generated a great deal of data, questions and discussions. Most of the exercise outputs were captured on displays created by the participants. The training stimulated engagement across relevant sectors and departments of government, providing opportunities for high-level discussion, sharing of knowledge and team building.

The peculiarity of this training event is that at the end of the two-day workshop, a half-day session on Green Climate Fund (GCF) proposal development was delivered at the request of a core group of participants as to facilitate dialogue for joint programming across sectors and identification of themes that can be translated into bankable project proposals.

The following exercise has been tailored to focus on the country needs for project planning and proposal development. This required preparatory adjustments by the facilitator:

- i. The trainer had to collect and review the main documents (NAPA, UNFCCC National Communications, National Development Plans, Sector Plans, National Adaptation Strategies, existing project documents) summarizing the key climate change adaptation priorities for Lesotho as to identify the main climate change issues linked to priority sectors and include them in the main presentation and exercise;
- ii. Additionally, the trainer reviewed the results stemming from the exercises (e.g. Module III.3 – Appraising Adaptation Options) conducted during the first two days of the training workshop as to better identify the adaptation priority sectors where additional resource mobilization could have been focused (see Slide 4);
- iii. The exercise was tailored to support participants in the development of concept proposals around three key climate change adaptation priority sectors in Lesotho (Agriculture, Health and Water) (Slide 4). The group work was based on the theory of change methodology that helped to identify context, actors and a sequence of logically-linked events leading to long-term change and impacts. Working groups, including experts from different sectors, were formed to work on different priority sectors. Their specific expertise and cross-cutting sectoral knowledge helped to fulfil the task;
- iv. Wrap-up questions were formulated in a way to stimulate discussions related to the country situation (e.g. How and why you think this project/activity can make change happens?).

Slide 3 – Tailored exercise instructions for Lesotho

Task for break out groups

1. Decide on objective for concept
2. Write 2-3 sentences on what the problem is.
3. Decide on outputs and outcomes
4. Design a theory of change
5. Allocate impact indicators to each outcome
5. Distil main points on sustainable development outcomes
6. Distil main points on cost effectiveness and efficiency arguments

(Source: UNITAR, 2015)

Slide 4 – Tailored information provided to break out groups (from Module III.3)

Exploring Adaptation Options

Sector: Water			
Development Goal as proposed in the NSDP 2012-2017	How is this goal affected by Climate Change?	What Adaptation options might be relevant for Mainstreaming?	Which actors should contribute to this task?
<p>Protect water resources through integrated water resource management. Promote equity in access to water supply and sanitation.</p>	<ul style="list-style-type: none"> • Increased <u>evapotranspiration</u> • Increased drought and reduced water availability • Land degradation 	<ul style="list-style-type: none"> • Rehabilitation and protection of wetlands • Water harvesting • Watershed management • Destocking and rangeland management • Pollution free • Improved sanitation • Monitoring and Evaluation 	<p>Rehabilitation</p> <ul style="list-style-type: none"> • FRIC • Environment & Water Affairs • Local Government • Civil society organisations • LMS <p>Water Harvesting</p> <ul style="list-style-type: none"> • Local Government • CSOs • Agriculture, EWA, LMS • FRIC <p>Watershed management</p> <ul style="list-style-type: none"> • LMS • FRIC • Local Government and CSOs <p>Improved sanitation / pollution free</p> <ul style="list-style-type: none"> • Min of Education • Min of Justice

(Source: UNITAR, 2015)

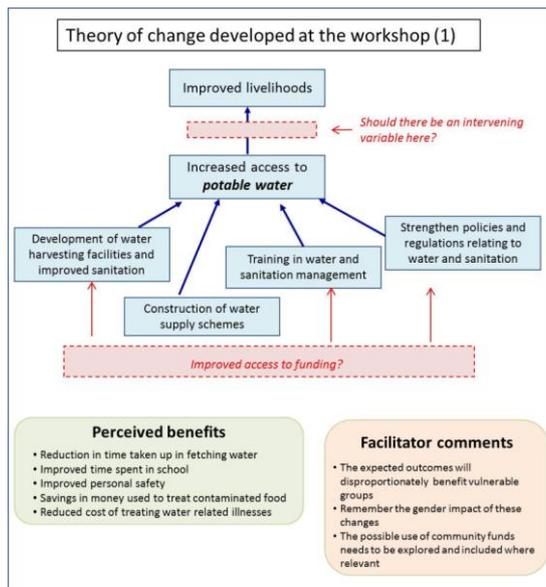
NAP Country-level training

Exploring Adaptation Options

Sector: Health			
Development Goal as proposed in the NSDP 2012-2017	How is this goal affected by Climate Change?	What Adaptation options might be relevant for Mainstreaming?	What actors should contribute to this task
Improved planning, health information , quality and coverage of health prevention and education programmes	<ul style="list-style-type: none"> Current / emerging health problems, <i>for example</i>.... <ul style="list-style-type: none"> Water-borne diseases Malnutrition / stunting Heat-related illnesses Insect vector borne diseases (eg. Malaria) Maternal / child mortality Malnutrition impacted by the effects on agriculture 	<ul style="list-style-type: none"> Research on health problems Inclusion of CC issues in curriculum Training communities at all levels on CCA matters Communication and awareness on CCA M&E 	<ul style="list-style-type: none"> Min of Environment Min of Health Min of Agriculture Min of Finance Institutions of higher learning Local Government Min of Planning NGOs Min of Communications FNCO DMA

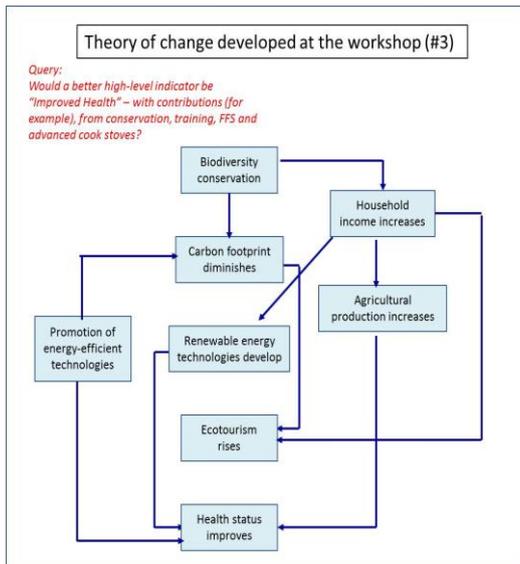
(Source: UNITAR, 2015)

Slide 5 – Concept proposal analysis for water sector



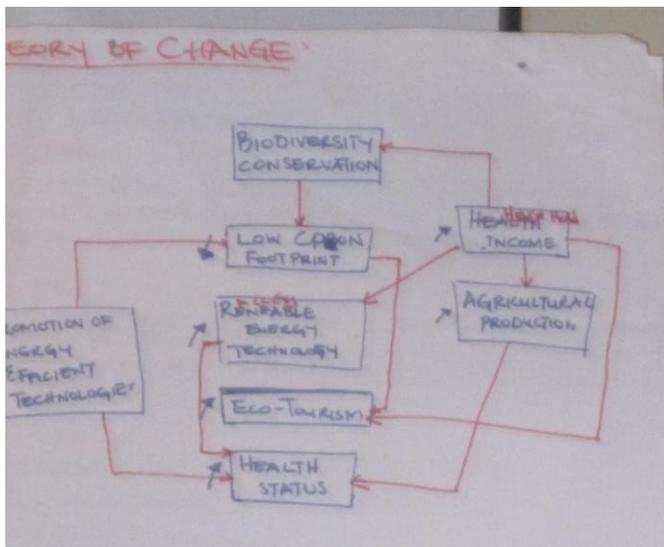
(Source: UNITAR, 2015)

Slide 6 – Concept proposal analysis for health sector



(Source: UNITAR, 2015)

Slide 7 – Concept proposal for health sector (in draft)



(Source: UNITAR, 2015)

NAP Country-level training

Picture 3 and 4 – Exercise delivery



(Source: UNITAR, 2015)



(Source: UNITAR, 2015)

Workshop participants engage in group work to reflect on prioritization of adaptation options and project proposal development in the context of the national adaptation planning process.

Example 3 – NAP country-level training in Thailand

Below you can find an additional example of tailored material for the exercise on Mainstreaming Adaptation into Development Planning (Module III.4 of the NAP country-level training). This has been developed and used on occasion of the NAP Training course in Thailand that took place in Bangkok from the 13 to the 15 October 2015.

The purpose of the exercise was to facilitate a basic understanding of how mainstreaming can look like in practice. This required some adjustments by the facilitator:

- i. The exercise was designed to focus on selected development objectives related to three out of six priority sectors for climate change adaptation (agriculture, health and infrastructure), as indicated by the Thailand Climate Change Master Plan 2015-2050. The trainer extracted the development objectives by reviewing the 11th National Economic and Social Development Plan (NESDP);
- ii. As part of the exercise, the facilitator summarized and shared with participants, key information on climate change projected impacts on the three priority sectors for Thailand;
- iii. The trainer developed three matrices (see 5.1-5.3 on handout below) in order to facilitate group discussions on the linkages between development objectives and priority sectors, asking the participants to reflect on the impacts of climate change on those specific sectors and objectives;
- iv. Guiding questions were designed to help participants to elaborate how adaptation mainstreaming could have reduced climate change impacts on development objectives and priority sectors. The questions were as follows: How is this development objective affected by climate change? Which are the relevant documents/budgets that would need to be modified? What adaptation options might be relevant? Which actors should contribute to next steps?
- v. The participants were finally encouraged to visually display their observations in the three different matrices – one per each priority sector.

Handout for exercise III.4 (Mainstreaming) tailored to the Thai country context

Module 5 - Mainstream Adaptation into Development Planning

Exercise 5 - Mainstreaming Matrix

Learning objective of the module

- Understand how mainstreaming and political processes are interwoven.
- Understand the purpose of mainstreaming and how it works.
- Reflect on effectiveness of mainstreaming.

Context

As the NAP process is closely linked to national and subnational development planning, **mainstreaming climate change adaptation** should be an integral part of the NAP process. Adequate mainstreaming requires an understanding of the relevant plans, planning subjects and planning cycles and reflection on which adaptation options are relevant for which plans. The concept of entry points will guide to adequate 'windows of opportunity' for mainstreaming.

Instruction for the exercise

The purpose of this exercise is to get a basic understanding of how mainstreaming can look like in practice. The exercise focuses on selected development objectives related to three of the six priority sectors for climate change adaptation as indicated by the Thailand Climate Change Master Plan 2015-2050. They have been extracted from the 11th National Economic and Social Development Plan (NESDP). All of them are to a certain degree climate-sensitive, that is, they are influenced by the given climatic conditions. Thus, in order to make sure that these objectives can also be achieved under climate change, its impacts need to be taken into consideration.

Exhibit 1 summarizes key information on climate change and projected climate change impacts in Thailand. **Matrices 5.1, 5.2 and 5.3** display development objectives for the three sectors:

- 1) Agriculture and food security
- 2) Public health
- 3) Human settlement / infrastructure.

Your task is to choose one of these sectors and follow the guiding questions shown in the three matrices to elaborate how mainstreaming may look like concretely with respect to the stated development objectives. These guiding questions are as follows:

- How is this development objective affected by climate change?
- Which are the relevant documents/budgets that would need to be modified?
- What adaptation options might be relevant?
- Which actors should contribute to next steps?

Please indicate one person from your group who reports back the main findings to the plenary after finishing the group work.

(Source: GIZ, 2015)

Matrix 5.1: Mainstreaming climate change into development planning (Group 1: Agriculture and food security)

Development objective from NESDP	How is this goal affected by climate change?	Which documents / budgets would need to be modified?	What adaptation options might be relevant?	What actors should contribute to next steps?
Increase the share of agricultural households that are self-sufficient to 50 percent by 2016 (p. 62)				
Expand irrigation areas by 200,000 rai per year to increase food security (p. 116)				

Matrix 5.2: Mainstreaming climate change into development planning (Group 2: Public health)

Development objective from NESDP	How is this goal affected by climate change?	Which documents / budgets would need to be modified?	What adaptation options might be relevant?	What actors should contribute to next steps?
Water resources should be developed, improved or restored to increase the water supply (p. 19)				
Better access to a high quality health care system and reduction of health risk factors in a holistic manner (p. 49)				

(Source: GIZ, 2015)

Matrix 5.3: Mainstreaming climate change into development planning (Group 3: Human settlement / infrastructure)

Development objective from NESDP	How is this goal affected by climate change?	Which documents / budgets would need to be modified?	What adaptation options might be relevant?	What actors should contribute to next steps?
Provide access to low-income housing and public amenities (p. 38)				
Increase the ratio of renewable and alternative energy consumption to total energy consumption to at least 19 percent (p. 78)				

(Source: GIZ, 2015)

Exhibit 1: Climate change information and projected impacts for Thailand*

Climate information

Temperature

1. Annual mean temperatures in Thailand could rise by up to 2°C by the middle of the century, and by up to 3.5 °C until the end of the century.
2. Annual periods of hot days (days with maximum temperature of 35°C or higher) are projected to increase by a few months in most regions.
3. The duration of the cold season is projected to become shorter.

Precipitation

1. Increase of rainfalls by 10-20 % (all regions).
2. Future increases in extreme rainfall related to the monsoon.
3. Heavier rainfalls in areas with already high precipitation level, such as the southern peninsula, resulting in more intense flooding.
4. Lower precipitation levels on already arid, inland north-eastern region, resulting in droughts.
5. Changes in rainfall patterns affect rivers. For the Mekong River, water flow will increase during rainy season and decrease during dry season.

Oceanographic changes

1. Regional sea levels are projected to rise between 30 and 70 cm.
2. The oceans in tropical regions are projected to show the strongest warming of sea surface temperatures.

Air flow

- Changes in the direction and speed of wind. Northeast monsoon is projected to become stronger.

Selection of projected impacts

Agriculture and Food Security

- Lower crop yields, especially of rice, maize or soybean due to excess rainfall and the occurrence of pests and diseases in some regions
- Lower crop yields for lowland rice, lychee and rubber due to higher average temperatures in some regions.
- Livestock may see reduced reproduction rates and immunity due to heat stress, and increased spread of disease and herd loss due to increased flood events in some regions
- Lower income of farmers due to lower crop yields and loss of livestock

Public Health

- Increased mortality due to higher temperatures, for instance because of higher incidence of heat-related cardiovascular and respiratory diseases.
- More severe heat stress among workers.

(Source: GIZ, 2015)

- Potential increase in Malaria and Dengue Fever cases in places where the combination of temperature rise and stagnant flood water will provide better breeding conditions for mosquitos.
- Potential contamination of water supply due to more frequent and intense flooding
- Saltwater intrusion into surface groundwater due to sea level rise.

Human Settlements / Infrastructure

- Widespread damage to infrastructure and settlements due to increased coastal, urban and riverine flooding.
- Almost 55% of Bangkok would be affected by floods if the mean sea level were to rise by 50cm, and 72% of the city would be affected if the mean sea level were to rise by 100cm.
- Decreased water flows in rivers could reduce hydropower production.

**This exhibit contains information from a variety of sources and does not represent an exhaustive overview. Some of the stated information has been simplified in order to serve the exercise of Module 5 more appropriately. For further use, please refer to the sources stated below.*

List of sources

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(Source: UNITAR, 2015)

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