

MOVING TOWARDS THE NATIONAL ADAPTATION PLAN PROCESSa proposed road map for Nepal

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About the publication

This publication has been published with support from WWF Nepal program under the project "Framing National Adaptation Plan: A process for mid and long term adaptation planning". The objective of the project was to come with a document that could help to frame the NAPs by the Government of Nepal.

The document is an outcome of the intense discussion and consultation at various levels from district to regional to national level with different stakeholders. The opinions and suggestions raised by the participants of the consultation workshops organized in various parts of Nepal has been incorporated while drafting this publication. The guidelines provided by the Least Developed Countries Expert Group (LEG) on NAPs have been followed to prepare this document. Changing climate will have serious threat to the ecosystem. Poor, marginalized and disadvantaged groups are more vulnerable to the changing climate and the impacts posed by it. Hence, there is an urgency of addressing their needs of adaptation to a changing climate, as adaptation is not a choice for those people rather a necessity. This book looks forward to support the Government of Nepal and line agencies to frame NAPs to integrate medium and long-term adaptation needs into the development planning process.

Lastly, we hope that this publication will be helpful to the decision makers, planners and the experts to plan adaptation strategies and actions for medium and long term.

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Genesis of Climate Change Adaptation in the UNFCCC Process

Adaptation is an adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities. The LDC Expert Group (LEG) in 2011 defined adaptation as human-driven adjustments in ecological, sectoral or economic systems or policy processes, in response to actual or expected climate stimuli or their effects or impacts. An affected system or a community or an individual attempts to adapt to any shocks, to the extent possible. Adaptive capacity could be considered an 'acquired capacity' (developed during the course of time to adapt to shocks) and is related to climate vulnerability, extreme weather or risks, any system or individual to adjust to the adverse effects of climate change. Adaptation as embedded in the UN Framework Convention on Climate Change (UNFCCC) is getting priority as extreme events are on the increase over the years.

Article 4.9 of the UNFCCC states that 'the Parties shall take full account of the specific needs and special situations of the least developed countries (LDCs) in their actions with regard to funding and transfer of technology'. For LDCs, this provision provides multiple opportunities to get involved in, and benefit from, adaptation.

In order to operationalize this Article to a broadersense, Parties to the UNFCCC at its seventh session in 2001 made a package of decisions related to LDC Work Programme, establishment of the LDC Fund and LDC Expert Group (LEG), and NAPA preparation guidelines. The LDCF provides funding and LEG supports for the preparation and implementation of NAPA to address the urgent and immediate adaptation needs in LDCs. Decisions on climate change adaptation have been taken at different sessions of the Conference of the Parties (COPs) to the UNFCCC under the subjects related to the LDCs,

LDC Fund and other funds, Nairobi Work Programme, Bali Action Plan, Cancun Agreement or the Durban Platform or Doha Gateway and Warsaw sessions. Whatever may



the form, adaptation has increasingly received attention in UNFCCC negotiation process.

In 2010, Parties established the Cancun Adaptation Framework (CAF) that provides opportunities to address medium- and long-term adaptation needs in the developing countries (both LDCs and non-LDCs).

The CAF emphasises, inter alia, to: (i) plan, prioritise and implement adaptation actions; (ii) undertake impact, vulnerability and adaptation assessments; (iii) strengthen institutional capacities and enabling environments for adaptation, including climate-resilient development and vulnerability reductions; and (iv) actions related to build resilience, including data, information and knowledge system, climaterelated research and systematic observations etc. Furthermore, Parties established a process to enable LDC Parties to formulate and implement national adaptation plans (NAPs), building upon their experience in preparing and implementing NAPAs, as a means to identifying





and implementing medium- and long-term adaptation needs. In addition, Parties established the Adaptation Committee, with multiple functions, to promote the implementation of enhanced action on adaptation.

The COP16 in 2010 has extended the mandate of the LEG to provide technical guidance and advice to LDCs on matters related, inter alia, to

needs. Currently, 50 LDCs have completed their NAPA (It also includes countries that has been graduated from LDCs, and NAPA for South Sudan is still under preparation).

LDCs have realised the need for NAPA implementation and moving towards NAP formulation process to medium- and long-term adaptation needs. Accordingly, Parties adopted the initial guidelines for the formulation of NAPs in 2011 and decided on modalities to support and enable LDCs to formulate and implement

DIFFERENCES BETWEEN NAPAS AND NAPS

NAPs. Parties also requested the LEG to prepare technical guidelines on the NAP process.

In many consultations, participants have urged to implement NAPA prioritised adaptation options rather than moving towards NAP process. In Nepal, lessons learned from NAPA and differences between NAPA and NAP calls upon to be engaged in NAP process, sooner the better, to protect climate vulnerable communities and life support systems, and improve livelihoods of the local communities.

Technical Guidelines on NAP Formulation Process

As per the mandate, the LEG has prepared and published NAP Technical Guideline to support LDCs wishing to be engaged in the NAP process. This follows the initial guidelines for NAP process

SN	Particulars	NAPAs	NAPs
1	Scope	Identification and prioritisation of most urgent and immediate adaptation options	Identification and prioritisation of medium and long-term adaptation options and their integration into development plans
2	COP decisions	COP 7 in 2001 at Marrakesh, Morocco Issuance of NAPA preparation guidelines	 COP 16 in 2010 at Cancun, Mexico for NAP formulation process Issuance of initial guidelines for NAP formulation at COP 17 in 2011 at Durban, SA
3	For whom	LDCs	Developing countries, including LDCs
4	Who prepares	LDCs through country-driven process	Developing countries, including LDCs through country- driven process
5	Funding Support	LDC Fund	LDC Fund for LDCs, and Special Climate Change Fund for developing countries
6	Channelling of Funds	GEF Implementing Agencies	GEF Implementing Agencies
7	Technical Support	LDC Expert Group (LEG)	LEG for LDCs and developing countries to prepare themselves
8	Current State (as of February 2014)	 49 LDCs (including Cape Verde and Maldives who graduated from LDCs) NAPA at different stages of implementation in LDCs 	 NAP formulation process started in several LDCs by preparing roadmap and using LEG prepared Technical Guidelines Few developing countries also engaged in NAP formulation process
9	Source of information	NAPAs use existing informations and no new research is needed	NAPs is based on and guided by the best available science

agreed upon by the Parties in Durban in 2011. UNDP and UNEP in collaboration with other several partners have initiated Global Support Programme to assist LDCs in NAP process. The agreed overall objectives of the NAP process are to:

- Reduce vulnerability to the impacts of climate a. change, by building adaptive capacity and resilience; and
- b. Facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

The Durban decision outlines 4 key elements and several steps which may be undertaken as appropriate. The CoP17 also agreed to enhance the process by following country-driven, gendersensitive, participatory and fully transparent approach, taking into consideration the vulnerable groups, communities and ecosystems. It should equally consider the best available science and as appropriate, traditional and indigenous knowledge and should not be prescriptive, avoid duplication of efforts and rather facilitate country-owned and country-driven actions. These guiding principles provide a basis for NAP process.

The NAP Technical Guidelines elaborates each element in the forms of questions and indicate actions to facilitate the country process on NAP process. For example, the Technical Guidelines proposes the following indicative activities to initiate and launch the NAP process:

The NAP Technical Guidelines also provides framework on major responsibilities for NAP process

TABLE MAIN STEPS UNDER EACH OF THE ELEMENTS OF THE FORMULATION OF NATIONAL ADAPTATION PLANS

ELEMENT A. LAY THE GROUNDWORK AND ADDRESS GAPS

- Initiating and launching of the NAP process Stock-taking: identifying available information on climate change impacts, vulnerability and adaptation and assessing gaps and needs of the enabling environment for the NAP process Addressing capacity gaps and weaknesses in undertaking the NAP process
- Comprehensively and iteratively assessing development needs and climate vulnerabilities

ELEMENT B. PREPARATORY ELEMENTS

- Analyzing current climate and future climate change scenarios Assessing climate vulnerabilities at the sector and other levels, and identifying adaptation options Reviewing adaptation options
- Compiling and communicating a National Adaptation Plan
- Integrating climate change adaptation into national and subnational development and sectoral planning

FLEMENT C IMPLEMENTATION STRATEGIES

- Prioritizing climate change adaptation
- ing a (long-term) national adaptation implementation strategy Enhancing capacity for planning and implementation of adaptation
- Promoting coordination and synergy at the regional level and with other multilateral environmental agreements

ELEMENT D. REPORTING MONITORING AND REVIEW

- Monitoring the NAP process
- Reviewing the NAP process to assess progress, effectiveness and gaps Iteratively updating the NAP Outreach on the NAP process and reporting on progress and effectiveness

until the endorsement stage (see Table 1). This process calls upon the climate change focal point to initiate a process. This equally focus on having a clear mandate from the government or the parliament, as appropriate, to initiate the process and endorsement of NAPs. This indicates the preparation and implementation of one or more NAPs as per the need and wish of the country.

As mentioned above, LDCs may wish to elaborate or make shorten the process, based on the national circumstances, and be engaged in the NAP process. LEG has also conducted training on NAP process using NAP Technical Guidelines.

of Nepal are fully exposed in the NAP process through regional training.

National Initiatives on Climate Change Adaptation

Nepal became a Party to the UNFCCC in 1994 and Kyoto Protocol (KP) in 2005. During the last two decades, Nepal has participated in almost all events including meetings of the Subsidiary Bodies and CoPs since 1995. It means Nepal has contributed on decisions related to adaptation. As Nepal is most vulnerable to climate change impacts, it started developing a process and making investments to respond and adapt to the adverse impacts of climate change.

During the last nearly two decades, Nepal progressed in addressing climate change impacts since 2007 onwards. Nepal's efforts can be broadly summarized into: (i) development of a dedicated institution; (ii) endorsement of policy instruments; (iii) establishment of coordination mechanism; (iv) fund raising and mobilization; (v) localizing climate adaptation, integration into planning processes and program targeted to the climate vulnerable poor communities; (vi) knowledge generation, awareness raising and skill development; (vii)

from the UNFCCC and the KP processes. The key initiatives and milestones on climate change

2004: Preparation of Initial National Communication with elements of adaptation, and LEG member 2007: Submission of funding proposal to LDC Fund for NAPA preparation 2008: Represented Asia on LEG, and become the SBSTA Rapporteur 2009: Establishment of Climate Change Council, organized Regional Conference on Climate Change, Cabinet meeting at Kalapatthar, preparation of status paper for climate change negotiation for COP15 and continued preparations 2010: Establishment of Climate Change Management Division under MoSTE; formation of MCCICC, NAPA endorsement, and international meetings [LEG 18 Meeting,

> International Expert Consultation on Climate Change – MI], continued on LEG representing Asia

- 2011: Endorsement of the Climate Change Policy and National Framework on Local Adaptation Plan of Action (LAPA)
- 2012: Funding from bilateral sources and LDCF for implementation of NAPAs through LAPAs and other projects secured; International Conference of Mountain Countries on Climate Change, and secured Chair of the LDC Coordination Group for 2013-2014 to represent 49 LDCs, and formation of the Core Negotiating Team (CNT)
- 2013: Funding secured from LDC Fund for Ecosystem based Adaptation (EbA) and agriculture projects, and preparation of status paper for negotiation including on adaptation and on loss and damage
- 2014: Chair of the LDC Group at UNFCCC and also the chair of the LEG for 2014 and 2015

In addition, number of initiatives is undertaken by the Government on climate change adaptation (CCA) and making development efforts climateresilient. Several NGOs have worked on CCA to heighten climate change discussion in Nepal and have supported climate vulnerable communities to adapt to climate change impacts. However, this preparatory phase has focused on 'process'. Only few 'investment' has been secured and future course of actions should be geared for 'investment for CCA'. Time has come to build on CCA foundations and implement CCA actions to improve livelihood of the Nepalese poor people. Also it is high time to promote CCA as a 'survival strategy' and a 'development agenda' for Nepal.

Moving towards the NAP Process

Nepal prepared NAPA in 2010 while other LDCs started implementation of NAPA prioritised projects since 2005 onwards and also engaged in revising their NAPAs.Nepal's delay start on NAPA preparation provided opportunities to avoid or minimise costly mistakes and prepare NAPA practical, easily implementable and make it of programmatic level. That resulted to immediately funding access and implement prioritised projects. NAPA experience has guided Nepal to take initiates on NAP process both at the government and non-governmental sector.



The UNFCCC focal point has already asked for GSP support for NAP process and this has resulted into the capacity build-up of government

NAP Technical Guidelines and/or NAP preparation process.

The NGO sector is keenly observing the NAP formulation process in the country. Few NGOs have shown greater interest on NAP process and are involved in creating awareness, developing human resources and updating information. With a view to enhance public awareness on CCA, and understanding on medium- and longterm adaptation needs to help integrate in the national planning process, Clean Energy Nepal (CEN) and WWF Nepal Programme initiated consultation process to help frame the NAP. CEN and WWF Nepal Programme planned to submit recommendations of this initiative (consultation) to MoSTE to support for NAP formulation process for medium- and long-term adaptation planning and integration into the national planning and development process in the spirit of the modalities and guidelines as agreed in the UNFCCC process. The consultation processes will help the Government of Nepal to frame its NAP taking into consideration the experiences of NAPA preparation and implementation processes.

As Nepal is in formative stage of NAP formulation, this NGO initiative is expected to provide an additional opportunity to raise and enhance awareness on climate adaptation in general, and NAP process in particular. To facilitate this process, CEN has organised NAP consultations in all 5 development regions from far west to eastern part of the country. As of mid-March 2014, CEN has organised NAP training workshops at Itahari, Sindhupalchowk, Kathmandu (with presentations from UNFCCC Secretariat, and LEG members from Bhutan and Nepal), Dhading, Pokhara, Nepalgunj, Doti, Kaski and Rasuwa. These consultation were organised to: (i) share the updates on NAPAs and NAPs; (ii) bring together stakeholders to discuss the need of mediumand long-term planning to address CCA issues; (iii) initiate discourse on Nepal's preparation for

the consultations, participants have proposed to consider water resources, agriculture, forests, monitoring and evaluation, communication, and stakeholders' engagement. Participants felt urgency of working together, establishing and/ or making coordination mechanism effective, and enhancing scope of work on climate change. In a nutshell, this marks the beginning of supporting the GoN in NAP process.

Proposed Roadmap for NAP Process

As mentioned above, the main objectives of the NAP formulation process are to: (i) reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; and (ii) facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.

The objective of the Roadmap is to establish a process in order for NAP formulation for Nepal to address medium- and long-term adaptation needs, taking into consideration the experiences and lesson learned from the NAPA process.

The expected outputs of this NAP process is to prepare a comprehensive adaptation plan(s) to address the adverse impacts of climate change and/ or to adapt to climate change impacts and to protect the life, property and livelihoods of the most climate vulnerable communities of Nepal, and ecosystems along with their goods and services.



Key Actions

- Get mandate
- Prepare stocktaking and gap analysis
 report
- Prepare procedures on coordination and timelines
- Conduct regular meetings of coordination arrangements

Steps/Approaches: Taking into consideration the NAP Technical Guidelines (Table 1), prepared by LEG, there are several steps and outcomes during the NAP formulation process. Reviewing the NAP Technical Guidelines, it seems that none of the step hinders Nepal to initiate NAP process and implement adaptation options. Hence, different steps of the NAP Technical Guidelines could be used as follows:

Element A: Laying the groundwork and addressing gaps

a. Define and launch the NAP process: The UNFCCC focal point, MoSTE is encouraged to prepare a concept and background document on the process to get mandate and instruction from the GoN to launch the NAP process. The mandate should include institutional arrangement and/or coordination mechanism. As Climate Change Council and MCCICC are functional, it is encouraged to best utilise them as policy and functional coordinating entities. However, there is a need for regular meetings and consultations to expedite the NAP process. The mandate should provide MoSTE to coordinate all activities related to NAP process, and MoSTE need to proceed to organise meetings of the CCC and MCCICC regularly and make effective use of existing coordination mechanisms.

- b. MoSTE may wish to form Thematic Working Group (TWGs), as practised and found effective in the NAPA preparation process, to proceed for NAP process. The TWGs formed for NAPA could be revitalised and/or expanded with additional TWGs on uncovered sectors during NAPA preparation. The TWGs should be coordinated by the senior government officer of the relevant ministries mandated for the sector. The TWGs in cooperation with MoSTE should conduct studies and consultations as required.
- c. The mandated institution and/or sector agencies or TWGs should synthesize available information related to development goals, programmes and resources and analyse gaps. The outcome is the stocktaking and gap analysis report. It is encouraged to prepare separate stocktaking reports for priority sectors affected or likely to be affected by the adverse effects of climate change.
- d. The concept note, to be prepared by MoSTE, may include the broader development needs, climate vulnerabilities and adaptation themes, goals and objectives. Alternatively, this could be prepared after stocktaking and gap analysis and it should include procedures on the way forward including coordination mechanism and timelines for each TWG's work and production of reports and integration of CCA into national to sub-national development plans.

Element B: Preparatory elements

 The mandated institution and/or TWGs for NAP process should analyse past climate and climate change scenarios and define climate risks including the socio-economic scenarios and this

Key Actions

- Prepare risk analysis report and scenarios
- Prepare V&A report
- Prepare economic report
- Prioritise and appraise adaptation options
- Prepare adaptation Plan(s)
- Develop communication procedures

will lead to the preparation of the risk analysis report for different work streams and/or themes and scenarios. In this report, both climatic and non-climatic stressors should be considered.

- b. The next step under the preparatory elements, as defined in the NAP Technical Guidelines, is to prepare vulnerability assessment and adaptation report by assessing climate vulnerabilities and identifying adaptation options at different sectors and at different levels, to the extent possible. Lack of and/or inadequate data and information on climate vulnerabilities should not block the NAP formulation process. However, efforts should be made to continue and update climate vulnerabilities during and after NAP process as an iterative process and once dependable data and information is available.
- c. Once VA&A report is in place, it is necessary to review and appraise adaptation options taking into consideration the social, economic and environmental aspects and national priorities and economic assessment report will be in place. Economic assessment of adaptation options would contribute to understand the cost of adaptation and prioritise and rank adaptation options. This step would provide list of prioritised adaptation options to address climate change impacts.
- d. These documents will help to prepare adaptation plan which may be a single national adaptation plan or a sectoral adaptation plan whatever the GoN and people of Nepal consider appropriate to address and adapt to the medium- and long-term climate change impacts. This adaptation plan should also consider major ingredients (5 'ka' approach – what, when, where, how and who) of the plan with adequate focus on monitoring and evaluation provisions, as iterative process.

This Plan will provide a basis to integrate, at least prioritised CCA, into sectoral, national and sub-national plans and programmes.

- e. Taking into consideration legal provisions on 'access to information' and wellpracticed GoN communication process, a communication procedure should be developed to communicate adaptation plan(s) to stakeholders and interested parties. Alternatively, an established NGO of environmental journalists having experiences in climate change and/or other NGOs having proven experiences on climate change may be given the role of communicating the plan to share responsibilities and minimising workload to the government institutions.
- f. Enhanced communication and involvement of different sectors at different stages of NAP formulation process and adaptation plan would promote integration of adaptation options into different sectors and help assist implementation of such measures. National Planning Commission Secretariat and/or MoSTE may take initiative and responsibility to ensure integration of adaptation options into national and sectoral plans.

Element C: Implementation strategies

- a. Once the adaptation plan is in place, the next step is to prepare and implement the implementation strategies. The strategy should clearly consider the adaptation plan(s) and sector(s) and geographic areas, as appropriate, and define the roles and responsibilities of the competent government institutions to implement the plan(s). The strategy should equally focus to integrate prioritised CCA into national and sectoralplan(s), procedures for enhancing the capacity for planning and implementation, and strengthening coordination and establishing synergy at the national and sub-national levels, and with multilateral environmental agreements, in particular the 3 Rio Conventions (Convention on Biological Diversity, UN Convention to Combat Desertification, and UNFCCC).
- b. The GoN may wish to prepare a 'strategy for survival ' – a blue print of actions on CCA as a national development agenda. The elements of such a strategy may include important aspects

of NAP, coordination and implementation mechanism, performance monitoring and evaluation, and performance auditing.

Element D: Reporting, monitoring and review

- a. The last element of NAP process, as agreed by the Parties in Durban and as included in the NAP Technical Guidelines, is the reporting, monitoring and review. The reporting here focus on reporting on implementation status of the adaptation plan(s) and changes in the impacts of climate change, climate vulnerabilities, and peoples' life.
- b. This reporting process offers opportunities to assess the process, effectiveness and gaps (PEG). LEG is preparing PEG monitoring and evaluation paper to assist the LDCs and other interested to monitor the NAP process and implementation of adaptation plan(s). It equally helps to assess progress of adaptation plans and their effectiveness to adapt to climate change impacts. Such information will contribute to revisit the adaptation plan(s) and revise/update and implement adaptation options as necessary. Hence, a monitoring report should be prepared on the level of implementation, as a vehicle for 'changing the gear' and evaluation report to know the effectiveness of NAP in addressing climate change impacts, and a vehicle for 'changing the direction'.

Additional Aspects for Consideration

This complete cycle provides ample opportunities to formulate and implement adaptation plan(s). For this, GoN may wish to form a Thematic Working Group, as mentioned above, for identified sector, taking into consideration the experience of the NAPA preparation process, and invite concerned ministry to lead the process in all steps, right from preparation to implementation. However, MoSTE should take the lead in launching the NAP process, compilation of the NAP, communication and endorsement of final NAP. Similarly, MoSTE should be engaged in monitoring and evaluation using, preferably the, PEG tool to monitor the progress and effectiveness, and conduct monitoring and evaluation regularly.

TWGs should be a multi-disciplinary team to prepare a stocktaking report and gap analysis report, risk analysis report and scenarios, V&A report and technical reports as necessary. Such a multi-disciplinary team may be engaged in data and information collection, analysis and deriving key messages and preparing technical reports. Similarly this team should be engaged in developing criteria for prioritising adaptation options and development of medium and longterm adaptation needs.

MoSTE may wish to prepare and circulate a procedural guidance to facilitate the process of TWGs to avoid confusion, develop common understanding on process and elements, and also to streamline the NAP process. The proposed document may consider the core methodologies approaches that TWGs must follow, nature of data and information required for different assessments, preferred content of the reports, existing documents to be reviewed such as NAPA, LAPA, Climate Change Policy, periodical plans, status report on climate change, Nepal's submissions to UNFCCC on different agenda items, climate screening and proofing, climate change budget code, and GoN's planning process to find entry points for integration of CCA etc. This document may also include provisions for stakeholder consultations at various levels, process for the development and selection of criteria and so on.

MoSTE may wish to engage the TWGs to estimate cost required to complete all steps of the NAP Technical Guidelines (this framework/roadmap) and prepare a quality and implementable adaptation plan(s). TWGs should also work on roles and responsibilities of different organisations and strengthening and making the coordination mechanism effective and influential.

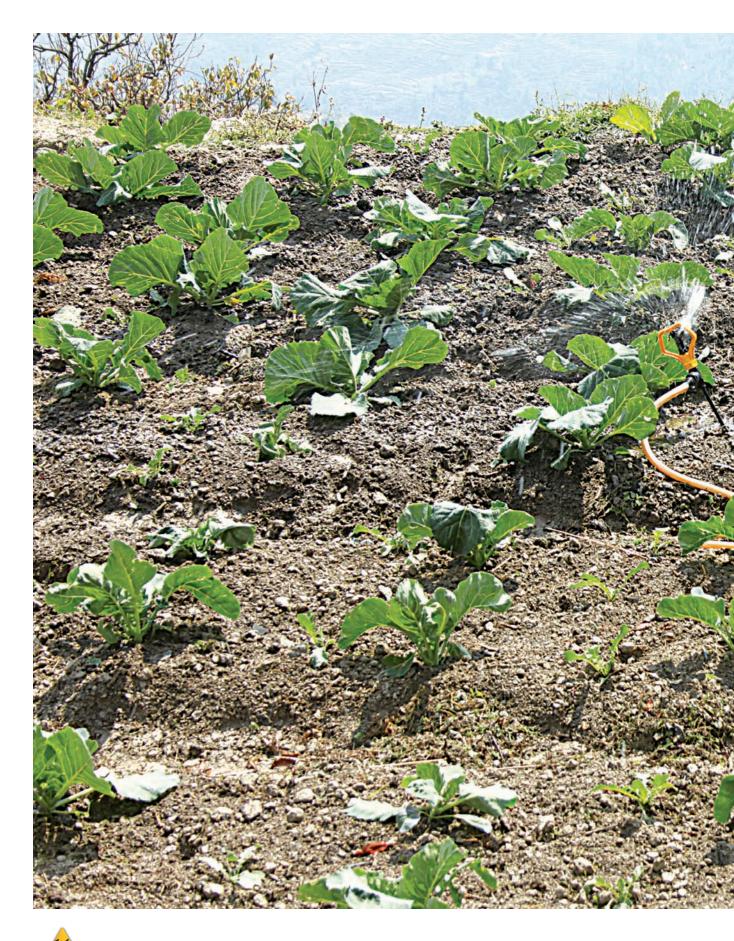
Nepal has initiated climate change activities in general and CCA in particular by 'learning-bydoing' approach. Nepal has made significant progress from 2009 onwards in accessing funding and preparing and endorsing facilitative instruments such as Climate Change Policy and LAPA to implement NAPA prioritised most urgent and immediate adaptation needs.

Although there are several challenges ahead such as lack of predictable source of financing

to the NAP process, human resources/expertise in NAP process, experiences and lessons learned on 'what worked and what did not' during implementation of most urgent and immediate adaptation options as prioritised in NAPA, to initiate the NAP process, but these challenges should not be an 'excuse' to start the NAP process. Nepal should initiate the process to the earliest possible with clear and mandated participation and leadership of the government institutions.Stakeholders, in particular the private and non-governmental sector, should support the GoN's initiative on NAP process to benefit from the existing provisions of the UNFCCC and protect climate vulnerable communities before they are irreparably affected by the adverse impacts of climate change. For this, NAP could a 'hope' and hence time has come to start the process by benefiting from experiences of other LDCs and developing and developed countries, and sharing our lessons to other LDCs and Parties to UNFCCC to have a 'win-win' situation.















Clean Energy Nepal (CEN) is an independent non-profit organization based in kathmandu. CEN Conducts research, advocacy, education campaigns and promotes implementation of policies and programs on issues related to sustainable engergy use and environmental conservation.

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