

UNEP GEF PIR Fiscal Year 2023

Reporting from 1 July 2022 to 30 June 2023

**INSTRUCTIONS TO COMPLETE THIS PIR**

1. *Instructions in blue are directed to Task Managers / Administrative Officers*
2. *Instructions in red are directed to Project Managers and Executing Agencies*
3. When filling up the respective cells, use the Normal style from the template. The text will look like this.
4. *Fields in green are new additions since last year's PIR.*

**1. PROJECT IDENTIFICATION**

**1.1. Project details**

*This entire table is to be prepared by Task Managers*

Identification Table	GEF ID.: <i>10525</i>	Umoja WBS: <i>SB-018532</i>
	<i>SMA IPMR ID: 95144</i>	<i>Grant ID: SI-32LDL-000052</i>
	<i>Project Short Title: UNI-LEAD</i>	
Project Title	<i>Strengthening endogenous capacities of LDCs to access finance for climate change adaptation</i>	
Duration months	<i>Planned</i>	<i>24 months</i>
	<i>Age</i>	<i>18/24</i>
Project Type	<i>Medium size project</i>	
Parent Programme if child project	<i>Insert name of Parent Programme if child project</i>	
Project Scope	<i>Global</i>	
Region	<i>Global</i>	
Countries	<i>Bangladesh (Independent University of Bangladesh)                      Bhutan (Royal University of Bangladesh)                      Burkina Faso (University Joseph Ki-Zerbo)                      Ethiopia (Addis Ababa University)                      The Gambia (University of the Gambia)                      Liberia (University of Liberia)                      Malawi (Lilongwe University of Agriculture and Natural Resources)                      Mozambique (Eduardo Mondland University)                      Nepal (Pokhara University)                      Rwanda (University of Rwanda)                      Senegal (University of Cheikh Anta Diop)                      Tanzania (University of Dar-es-Salaam)                      Uganda (Makerere University)</i>	
GEF Focal Area(s)	<i>Climate Change</i>	
GEF financing amount	<i>1,980,000</i>	
Co-financing amount	<i>2,074,424</i>	
Date of CEO Endorsement/Approval	<i>31 August 2021</i>	
UNEP Project Approval Date (Decision Sheet)	<i>18 November 2021</i>	
Start of Implementation (PCA entering into force)	<i>31 December 2021</i>	
Date of Inception Workshop, if available	<i>7-8 March 2022</i>	
Date of First Disbursement	<i>4 April 2022</i>	

Total disbursement as of 30 June 2023	<i>100,000</i>
Total expenditure as of 30 June 2023	<i>105,011.00</i>
Midterm undertaken?	<i>No</i>
Actual Mid-Term Date, if taken	<i>N/A as MSP</i>
Expected Mid-Term Date, if not taken	<i>N/A as MSP</i>
Completion Date	<i>Planned – original PCA</i>
	<i>31 December 2023</i>
	<i>Revised – Current PCA</i>
	<i>Extension request for another 12 months - PCA yet to be revised</i>
Expected Terminal Evaluation Date	<i>July 2025</i>
Expected Financial Closure Date	<i>December 2025</i>

### 1.2. Project description

The University Leadership in Catalyzing Climate Finance (UNI-LEAD) project seeks to strengthen capacities of Least Developed Countries (LDCs) to achieve scaled up and effective adaptation by fostering sustained endogenous technical services for project development, policy mainstreaming and creation of an enabling environment for financing of climate change adaptation. The focus of the capacity strengthening effort is on 13 universities within the LDC University Consortium on Climate Change (LUCCC).

UNI-LEAD’s Executing Agency is START International, Inc., and the main partners are universities and national governments in Senegal, Burkina Faso, Liberia, The Gambia, Ethiopia, Rwanda, Uganda, Tanzania, Malawi, Mozambique, Nepal, Bhutan, and Bangladesh. Additional partners are Climate Analytics and the International Centre on Climate Change and Development (ICCCAD).

Component 1: *Collaborative mechanisms established for strengthening and sustaining capacities for climate change adaptation finance.* Capacity development and institutional strengthening activities for all 15 LUCCC members, activities of which include development of a guidance manual on university-government collaboration for climate finance; policy and institutional mapping to identify entry points for university-government collaboration, development of collaboration agreements, and webinars on climate finance topics to build capacity within the LUCCC network. **Note:** there are currently 13 LUCCC members actively involved in this project. The University of Khartoum and Kabul University are not involved in this project.

Component 2: *LDC thinktanks established to meet government’s knowledge and technical service demands related to climate change adaptation.* Develop a proof-of-concept for LDC-university thinktanks that have the expertise and capacity to provide demand-led technical products to their respective national government through a fee-for-services model and/or through other sources of grant funding to sustain the think-tanks. This project will support three thinktanks, with the premise that the LDC thinktank model can be upscaled to additional universities within the LUCCC network if additional sources of funding are identified.

Component 3: Capture the lessons learned from the initial establishment of the three LDC thinktanks in order to mobilize resources and create enabling conditions for other thinktanks to be established.

### 1.3. Project Contacts

Division(s) Implementing the project	<i>Ecosystems Division,</i>
Name of co-implementing Agency	
Executing Agency(ies)	<i>START International</i>

Names of Other Project Partners	<i>Insert name(s) of Project Partner(s)</i>
UNEP Portfolio Manager(s)	<i>Jessica Troni</i>
UNEP Task Manager(s)	<i>Atifa Kassam</i>
UNEP Budget/Finance Officer	<i>Bwiza Wameyo-Odemba</i>
UNEP Support/Assistants	<i>David Ocholla, Ruth Mutinda</i>
EA Manager/Representative	<i>Jon Padgham</i>
EA Project Manager	<i>Jon Padgham</i>
EA Finance Manager	<i>Sarah Schweizer</i>
EA Communications Lead, if relevant	<i>Insert name of Communications Lead (if relevant)</i>

## 2. OVERVIEW OF PROJECT STATUS

### 2.1 UNEP PoW and UN

UNEP Current Subprogramme(s)	<i>Thematic: Climate action</i>
PoW Indicator(s)	(i) Number of national, subnational and private-sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support (ii) Amounts provided and mobilized in \$ per year in relation to the continued existing collective mobilization goal of the \$100 billion commitment through to 2025 with UNEP support (iv) <i>Positive shift in public opinion, attitudes and actions in support of climate action as a result of UNEP action.</i>
UNEP previous Subprogramme(s)	<i>Climate change</i>
UNSDCF / UNDAF linkages	<i>N/A</i>
Link to relevant SDG Goal(s)	<i>SDG 13, Climate Action</i>
Link to relevant SDG Target(s)	<i>Target 13.3: Build knowledge and capacity to meet climate change.</i> The project builds capacities and knowledge to mobilise and secure climate finance funding (GCF, AF, etc.) to address adaptation needs. <i>Target 13.5: Promote mechanisms to raise awareness for capacity for management and planning.</i> The project will (in the upcoming PIR period) develop capacities for writing concept notes for GEF Readiness Grants, and the project is in the process of developing roadmaps for LUCCC university engagement with their respective governments that will lead to identification of where the universities can work with their governments to develop knowledge that contributes to awareness raising on climate change.

### 2.2. GEF Core Indicators:

GEF Core or sub indicators targeted by the project as defined at CEO Endorsement/Approval, as well as results.

Indicators	Targets – Expected Value			Materialised to date
	Mid-term	End-of-project	Total target	
<b>Indicator 4: Total no.of people trained</b>	<i>55 men; 33 women</i>	<i>Fill</i>	<i>300 of which 120 are women and 180 are men</i>	<i>As of 30 June, a total of 88 people have been trained through the project. There were 50 individuals (32 men;18 women) trained in the first webinar (basics of climate finance) as well as 20 (13 men; 7 women) and 18 individuals (10 men; 8 women) in the regional workshops (roadmaps for univ-gov't engagement) held in Dakar and Kampala, respectively.</i>
<i>Insert relevant indicator</i>	<i>Fill</i>	<i>Fill</i>	<i>Fill</i>	<i>Describe any progress made towards delivering the stated indicators.</i>

### 2.3. Implementation Status and Risk

*[complete the fiscal year and select: 1st PIR; 2nd PIR; .... Final PIR; select HS; S; MS; MU; U; HU; unknown; not rated to rate the progress towards outcomes and outputs in third and fourth lines; select H; S; M; L; to rate risks for the fiscal year you are reporting in the fifth line. Add more columns if needed]*

	FY 2023_	FY 20__	FY 20__	FY 20__	FY 20__
PIR #	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	....
Rating towards <b>outcomes (DO)</b> (section 3.1)	S				
Rating towards <b>outputs (IP)</b> (section 3.2)	S				
<b>Risk</b> rating (section 4.2)	L				

In this, the first PIR reporting period, a significant focus of the achievements involved establishment of the project infrastructure and the development of support resources for UNI-LEAD Points of Contact (PoC) to engage their respective governments. Thus the UNI-LEAD project’s main achievements were: creation of the Project Management Unit with a highly qualified team (primarily from Africa, with some South Asian composition); the development of a project guidance manual with best-case examples of university-government collaboration; the initiation and completion of policy and institutional mapping for climate finance across 13 LUCCC countries; and the development of roadmaps for university-government engagement. Taken together, these products served to lay the groundwork for a call for proposals for the establishment of think-tanks, which was issued near the end of this PIR period.

Notable progress was made in this reporting period with respect to integrating Gender Equity and Social Inclusion (GESI) considerations and criteria into project activities, and it is a priority to increase progress in GESI integration in the remaining part of this project. The PMU has significant expertise in gender mainstreaming in policy, and gender and climate change, that it brings to the project. Another important area of progress concerned the partial restructuring of the project (from remote to in-person training

events) so as to more effectively address the learning needs of the network and to produce stronger capacity development outcomes across the network. Rapport with the Project Steering Committee and the LDC Chair, which transitioned from Bhutan to Senegal at the beginning of this project, is strong but there remains a need for continued strengthening of engagement with the LDC Chair' office.

Regarding challenges to the project, it has taken considerable effort to get the LDC Chair fully engaged in the project; that problem was somewhat mitigated through an in-person planning meeting convened at UNEP in February 2023. Another significant challenge concerns the Capacity Development Hub, which is significantly underperforming. (A formal documentation of this problem has been shared with UNEP.) Furthermore, the project is overly ambitious for its 2-year duration; a 1-year no-cost extension was approved by the PSC and even with that extension it will be difficult to complete on time in terms of having fully functional think-tanks that are established as independent self-funded entities. Lastly, the LUCCC Points of Contact expressed concerns about the way that capacity development was structured (webinars and virtual short courses); the project was restructured to accommodate in-person learning and greater focus on relevant capacity development, so that problem has been mitigated.

**Rating towards outcomes:** Based on the progress, challenges and risks described above, overall progress has been **Satisfactory** with respect to deliverables (Guidance Manual, Policy & Institutional mapping, and Roadmaps) that, taken together, provide resources for universities as they engage their governments. The formal engagement between universities and governments has not yet taken place; it is planned for the Aug-Sep 2023 period.

**Rating towards outputs:** Overall progress has been **Satisfactory** with respect to key deliverables (Guidance Manual, Policy & Institutional mapping, and Roadmaps) being produced. The original output of training webinars is no longer relevant given the changes to project activities (i.e., the webinars are being replaced by intensive in-person training). With the additional one year, and continued momentum with selecting and setting up the think tanks, the project should be in a good position to reach all outputs.

**Overall risk rating:** The overall risk rating of the project is **Low** as a result of reasonable and timely completion of activities to date despite needing to undertake a fairly significant change to the project activities in order to increase capacity to strengthen outcomes. However, there are risks associated with the poor performance of the Capacity Development Hub, the tight timeline of a very ambitious project, and the unknowns associated with delivery by the think-tanks.

[section will be uploaded into the GEF Portal]

## 2.4. Co-financing

<p><b>Planned Co-finance.</b>  <b>Total:</b>  <i>(total confirmed in endorsement:                  \$2,074,424)</i></p> <p><b>Actual to date:</b>  <i>Complete (in \$ and %.                  State the date for which                  this value is valid)</i></p>	<p><i>\$2,074,424 in co-financing is confirmed in the endorsement. Actual to date is \$1,230,423 and 59.31%. This value is valid from project inception through 30 June 2023.</i></p>
<p><b>Progress</b></p>	<p><i>Several universities reported challenges of realising their planned grant co-financing due to the time delay between when estimates were reported and when the project officially began and related to grant co-financing, several anticipated grants didn't come to fruition. Despite challenges, the project has</i></p>

	<p>secured 59.31% of the confirmed co-finance per the endorsement. Sources of co-financing are from START International (432,409), University of The Gambia (5,000), Pokhara University(3,833), University of Dar Es Salaam (3,100), Lilongwe University of Agriculture and Natural Resources (260,000), Addis Ababa University (31,481), Université Cheikh Anta DIOP de Dakar(17,000), University of Liberia (26,320), Université de Dédougou (UDDG) Burkina Faso (228,750).</p>
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## 2.5. Stakeholder engagement

<p><b>Date of project steering committee meeting</b></p>	<p>PSC meeting dates:</p> <ol style="list-style-type: none"> <li>1. April 19, 2022; Summary</li> <li>2. December 01, 2022; Summary</li> <li>3. March 15, 2023; Summary</li> </ol>
<p><b>Stakeholder engagement</b></p>	<p><i>Level 1 stakeholders:</i> The LDC Chair and the LUCCC representatives are active members of the Project Steering Committee (PSC). The PSC has met three times since the project inception. The Project Management Unit (PMU) was constituted in June 2022 and brings significant expertise in climate finance and capacity development to the project. They are initiating project activities and are actively engaging the PoCs. The PMU meets biweekly and START and UNEP also meet biweekly to troubleshoot and proactively plan.</p> <p><i>Level 2 and 3 stakeholders:</i> Level 2: Generally good progress with the LUCCC university Points of Contact (PoC) with respect to their participation in the project. Engagement has increased since the project was restructured to enable more in-person LUCCC network training events. Level 3: Engagement with government officials began in the 2nd quarter of 2023; it is expected that Level 3 engagement will increase substantially in the year ahead.</p> <p>The project will continue to engage stakeholders going forward. Specific areas of engagement for Level 1 stakeholders will consist of continuing semi-annual meetings with the PSC and bi-weekly meetings with the PMU. Levels of engagement with Level 2 and 3 stakeholders will increase over the next year as the Points of Contact convene meetings with their government counterparts and the think tanks become established.</p> <p>[section will be uploaded into the GEF Portal]</p>

## 2.6. Gender

<p><b>Does the project have a gender action plan?</b></p>	<p>Yes</p>
<p><b>Gender mainstreaming</b></p>	<p>A survey on GESI aspects of the capacity development assessment was carried out in 2022. The GESI survey centred around understanding of gender issues, capacity within institutions in terms of skills in the unit as well as in the university in general, and projects and implementation in relation to GESI. Results from the GESI survey indicate limited technical skills as well as collaborative projects on GESI issues within the institutions as well as development of products and services within this context.</p> <p>The project needs to do considerably more to integrate GESI into the LUCCC PoCs work with respect to establishing gender-responsive technical plans. Looking ahead in the coming year, key aspects of GESI and climate finance</p>

	<p>will be developed into a short-course, and GESI and climate finance will figure considerably in the agenda for the LUCCC-wide training that will take place in October 2023. GESI aspects will also be encouraged, tracked and reported on during PoC engagements with their respective governments across the 13 LUCCC universities, not just in the three think-tanks.</p> <p>[section will be uploaded into the GEF Portal]</p>
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## 2.7. Environmental and social safeguards management

<p><b>Moderate/High risk projects (in terms of Environmental and social safeguards)</b></p>	<p>Was the project classified as <b>moderate/high risk</b>? <i>No</i></p> <p>If yes, what specific <b>safeguard risks</b> were identified in the SRIF/ESERN? <i>If yes, describe the specific safeguard risks that were identified in the SRIF/ESERN.</i></p>
<p><b>New social and/or environmental risks</b></p>	<p>Have any new social and/or environmental risks been identified during the reporting period? <i>No</i></p> <p><i>If yes, describe the new risks or changes.</i></p>
<p><b>Complaints and grievances related to social and/or environmental impacts (to be filled in by TM and EA)</b></p>	<p>Has the project received complaints related to social and/or environmental impacts (actual or potential) during the reporting period? <i>Yes/No (delete as appropriate)</i></p> <p><i>No</i></p> <p><i>If yes, please describe the complaint(s) or grievance(s) in detail, including the status, significance, who was involved and what actions were taken.</i></p>
<p><b>Environmental and social safeguards management</b></p>	<p>In reference to the SRIF document developed for this project, there has been no change in the environmental and social safeguard status as a result of implementing this project. Taking into consideration that this project is a normative project aimed at building technical capacity - The SRIF identified no negative environmental or social impacts (Safeguard Standards 1-8) as a result of this project. The project does have a Stakeholder Response and Grievance Redress Mechanism that has been shared with project stakeholders and is posted on the project website.</p> <p>[section will be uploaded into the GEF Portal]</p>

## 2.8. Knowledge management

<p><b>Knowledge activities and products</b></p>	<p>The knowledge activities/products at the time of this report include the following:</p> <ol style="list-style-type: none"> <li>1) a finalised <a href="#">guidance manual</a> on best practices for university-government engagement that provides case-study reviews cases of universities working effectively with governments, presenting examples of collaboration between universities and governments for learning by the LUCCC universities.</li> <li>2) a draft policy and institutional mapping product for all 13 countries active in the LUCCC network that reviews national policies and strategies related to climate change adaptation. This mapping in turn identifies potential entry points for university-government collaboration.</li> </ol>
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	<p>3) a <a href="#">draft roadmap</a> for university-government engagement that builds from the policy &amp; institutional mapping and identifies specific areas where the university can collaborate with the government in providing technical services and products related to climate finance, towards development of an engagement plan.</p> <p>4) a <a href="#">webinar</a> on basics of climate finance was produced and provided to the LUCCC network in November 2022.</p> <p>[section will be uploaded into the GEF Portal]</p>
<p><b>Main learning during the period</b></p>	<p>Much of the learning-by-doing to date has focused on the process of creating a useful and impactful project outcome for the LUCCC network in terms of building capacity for universities to advise their governments on accessing climate finance. In that respect, the design of the project to be fully virtual (reflecting the Covid pandemic period during which the project was conceived) created barriers to learning by the LUCCC network points of contact. There was strong preference articulated by the PoCs to have in-person (rather than webinar-based) training for gaining skills on climate finance. To date, the project has responded to that by convening in-person regional (i.e. West Africa, Eastern/Southern Africa and South Asia) meetings between PoCs and National Focal Points to the UNFCCC and GEF, as well as an in-person meeting of the PMU (at UNEP Headquarters in Feb. 2023) to collaboratively develop a shift in project emphasis away from fully-remote learning towards a hybrid of remote and in-person experiences.</p>

**2.9. Stories to be shared**

<p><b>Stories to be shared</b></p>	<p>[section to be shared with communication division/ GEF communication]</p>
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### 3. PROJECT PERFORMANCE AND RISK

Based on inputs by the Project Manager, the **UNEP Task Manager**<sup>1</sup> will make an overall assessment and provide ratings of:

- (i) Progress towards achieving the project Results(s)- see section 3.1
- (ii) Implementation progress – see section 3.2

Section 3.3 on Risk should be first completed by the Project Manager. The UNEP Task Manager will subsequently enter his/her own ratings in the appropriate column.

#### 3.1 Rating of progress towards achieving the project outcomes (Development Objectives)

*[copy and paste the CEO Endorsement (or latest formal Revision) approved Results Framework, adding/deleting outcome rows, as appropriate]*

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Progress as of current period (numeric, percentage, or binary entry only)	Summary by the EA of attainment of the indicator & target as of 30 June 2023	Progress rating <sup>2</sup>
<b>Objective:</b> To strengthen capacities of Least Developed Countries (LDCs) to achieve scaled up and effective adaptation by fostering sustained endogenous technical services for project development, policy mainstreaming and creation of an enabling environment for adaptation to climate change.	Positive satisfaction ratings in Government for think tank services to support in scaling up of adaptation finance	0	N/A	5 <sup>3</sup> countries that have positive feedback on think tank services	15%	The PSC voted and approved a revised scope of the project in March 2023 that includes reducing think tanks from 5 to 3. A revised results framework supporting the approved redesign will be submitted for consideration to the PSC at the next meeting.  Applications for think tanks have been received and the PSC is undergoing a review and selection process in late July 2023. 3 think tanks will be announced in August 2023.	S

<sup>1</sup> For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency.

<sup>2</sup> Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU).

<sup>3</sup> As of March 2023, the PSC revised this to 3 think tanks.

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Progress as of current period (numeric, percentage, or binary entry only)	Summary by the EA of attainment of the indicator & target as of 30 June 2023	Progress rating <sup>2</sup>
<p><b>Outcome 1.1:</b> LUCCC universities effectively facilitate access to climate finance in their respective countries</p>	<p>Number of institutions with increased ability to access and/ or manage climate finance  (aligned with GEF Amat indicator 3.2.1)</p>	0	N/A	4 institutions with level 3 ability to access climate finance <sup>4</sup>	15%	<p>The two regional workshops involving UNFCCC and GCF national focal points, and LUCCC PoCs were held in Dakar and Kampala in May 2023 and another one is scheduled for July 2023 in Kathmandu. Preliminary engagement of PoCs with their NFPs initiated at two regional workshops (Dakar and Kampala) provided an entry point to building capacity to engage.</p> <p>Universities participated in a climate finance 101 webinar which provided a learning opportunity on accessing climate finance. More in-depth training will be provided in October 2023 during an intensive in-person workshop.</p>	S
<p><b>Outcome 1.2:</b> Select LDC universities have institutional capacity to support adaptation policy and project formulation</p>	<p>Number of people trained through capacity building activities/ initiatives</p>	0	N/A	300 people <sup>5</sup> (to be validated) – of which 120 are women and 180 are men.	25%	<p>To date a total of 88 people have been trained through the project. There were 50 individuals (32 men;18 women) trained in the first webinar (basics of climate finance) as well as 20 (13 men; 7 women) and 18 individuals (10 men; 8 women) in the regional workshops (roadmaps for univ-gov't engagement) held in Dakar and Kampala, respectively.</p>	S

<sup>4</sup> A scorecard will be defined based on project outputs. Will be based on a 3 level approach – Level 1 = Institutions have some capacity, Level = Institutions have capacity and a coordination mechanism in place, Level 3= Institutions have systems and processes in place

<sup>5</sup> Assuming 20 people per University

Project objective and Outcomes	Indicator	Baseline level	Mid-term target	End-of-project target	Progress as of current period (numeric, percentage, or binary entry only)	Summary by the EA of attainment of the indicator & target as of 30 June 2023	Progress rating <sup>2</sup>
<b>Outcome 2.1:</b> Think tanks at select LDC universities provide technical services that meet government demands	Number of people made aware of think tank services and their ability to assist with appropriate adaptation responses  (aligned with GEF AMAT indicator 3.3.2)	0	N/A	250 people (50 technical officers/planners per each country <sup>6</sup> )  The project would use a scorecard approach to measure levels of awareness <sup>7</sup>	0%	A call for proposals was released in June 2023 and applications received from 6 think tanks. Think tanks will be announced in August 2023. The next PIR will have progress on this outcome.	MS
<b>Outcome 3.1:</b> Think tank model incorporated into LUCCC expansion and scale up plan	No. of additional institutions with confirmed interest and funded workplan to pilot the model  (aligned with GEF AMAT 3.2.3)	0	N/A	2 Institutions	0%	The Capacity Development Hub will be leading the effort on the sustainability plan in Q3 and Q4. The LDC Chair is currently in discussions with UNIDO to secure 60,000 USD to support training (20,000 USD) and one additional think tank (40,000 USD).	S

<sup>6</sup> Assuming on average we would affect 4 national institutes and 2 sub-national.

<sup>7</sup> Level 1 – awareness of services, Level 2 – aware of information needs regarding climate change impacts and adaptation needs, Level 3 – intention to commission assignments from think tanks

3.2 Rating of progress implementation towards delivery of outputs (Implementation Progress)

Outputs/Activities <sup>8</sup>	Expected completion date <sup>9</sup>	Implementation status as of 30 June 2021 (%)	Implementation status as of 30 June 2022 (%)	Progress rating justification <sup>10</sup> , description of challenges faced and explanations for any delay	Progress rating <sup>11</sup>
<b>COMPONENT 1: Collaborative mechanism for sustained endogenous capacity on climate change adaptation finance</b>					
<p><b>Output 1.1.1:</b> 13 LUCCC universities formulate engagement plans with host LDC governments to provide specific technical services to government agencies</p>	Dec 2023	0	15	<p>Progress towards formulating engagement plans began in the 2nd quarter of 2023 with the planning and execution of the regional meetings involving PoCs and national focal points in co-developing roadmaps. It is anticipated (and is budgeted) that the PoCs will undertake engagement with their governments using the roadmap as a basis for developing an engagement plan. The project changed scope from fully virtual to hybrid, responding to the LUCCC’s request for more network-wide capacity development. This resulted in a delay of activities to support engagement planning.</p>	MS

<sup>8</sup> Outputs and activities (or deliverables) as described in the project logframe (and workplan) or in any updated project revision.

<sup>9</sup> The completion dates should be as per latest workplan (latest project revision).

<sup>10</sup> As much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc.

<sup>11</sup> To be provided by the UNEP Task Manager

Outputs/Activities <sup>8</sup>	Expected completion date <sup>9</sup>	Implementation status as of 30 June 2021 (%)	Implementation status as of 30 June 2022 (%)	Progress rating justification <sup>10</sup> , description of challenges faced and explanations for any delay	Progress rating <sup>11</sup>
<p><b>Output 1.1.2:</b> LUCCC capacity development hub established with at least 8 web-based capacity building modules (2 focusing on GESI/CC themes) responding to LUCCC university priority capacity gaps</p>	Dec 2023	0	15	<p>The capacity needs assessment that forms the basis for the baseline report is complete. Capacity needs assessments will be ongoing as needed to gather additional information for M&amp;E purposes.</p> <p>The LUCCC-wide training activity was conceived as a key element of the project’s modifications undertaken in February 2023 and approved by the PSC in March 2023. The training, for which the training resource package will be created, will occur in October 2023. This package will replace the 8 webinars.</p>	S
<p><b>Output 1.1.3:</b> At least 5 short courses inclusive of GESI/CC developed for use by LUCCC institutions for technical service delivery to host governments on a fee-basis; at least five training of trainers conducted</p>	Feb 2024	0	40	<p>Two of the short courses (Basics of Climate Finance, and Climate Finance and GESI) will be developed by September 2023. The other three short course topics will be determined through consultation between PoCs and governments, and developed between Sep and Dec 2023</p>	S
<p><b>Output 1.1.4:</b> Knowledge and information resource management system set up at the capacity development hub with procedures for updating and disseminating resources repository contents</p>	Oct 2023	0	10	<p>The Capacity Development Hub has established a simple resource management system. The EA and Capacity Development hub are working on making the knowledge management system more robust and effective to the needs of the project. The hub has been slow to provide adequate staff to develop the project deliverables.</p>	MS

Outputs/Activities <sup>8</sup>	Expected completion date <sup>9</sup>	Implementation status as of 30 June 2021 (%)	Implementation status as of 30 June 2022 (%)	Progress rating justification <sup>10</sup> , description of challenges faced and explanations for any delay	Progress rating <sup>11</sup>
<b>Output 1.2.1:</b> At least 5 thinktank institutions formalised through MoU or similar mechanism at 5 LUCCC universities	Dec 2023	0	10	The call for think-tank applications closes on June 30, 2023, after which proposals will be evaluated, with the three think tanks to be selected by the end of July 2023. The PSC approved the change from 5 to 3 think tanks in March 2023. A revised results framework will be submitted and revisions to activities will also be submitted to the PSC (for their review and approval) in the next semi-annual PSC meeting (Q3 of 2023) that will reflect this change. The project changed scope from fully virtual to hybrid, responding to the LUCCC’s request for more network-wide capacity development. This resulted in a delay in establishing the think-tanks.	MS
<b>Output 1.2.2:</b> Thinktanks formally operational through development of organisational charters, staffing plans and steering committees (no less than 5). At least 2 multidisciplinary technical working clusters established at each thinktank (no less than 5)	Feb 2024	0	0	See comments above	MS
<b>Output 1.2.3:</b> Technical working clusters and support system established to provide technical goods and services	Jan 2024	0	0	Not yet started	N/A
<b>Output 1.2.4:</b> Business and sustainability plans formulated for each thinktank (at least 5).	Feb 2024	0	0	Not yet started as think tanks need to be established	N/A
<b>Component 2: Technical capacity building for LDC governments</b>					
<b>Output 2.1.1:</b> Small grants program established, with proposal guidelines, procedures, and evaluation criteria to support demand-led policy research and technical services.	Dec 2023	0	0	A draft is expected by September 2023 with final form by the end of October 2023.	S

Outputs/Activities <sup>8</sup>	Expected completion date <sup>9</sup>	Implementation status as of 30 June 2021 (%)	Implementation status as of 30 June 2022 (%)	Progress rating justification <sup>10</sup> , description of challenges faced and explanations for any delay	Progress rating <sup>11</sup>
<b>Output 2.1.2:</b> At least 20 demand-led and policy relevant technical outputs prepared across university thinktanks in a minimum of 5 countries.	Sept 2024	0	0	The technical outputs will be developed between January and July 2024.	N/A
<b>Component 3: Scaling up</b>					
<b>Output 3.1.1:</b> Two meetings (1 per year of project implementation) conducted to a) share knowledge and learning about the thinktank experience; b) strengthen the overall LUCCC thinktank network; and c) increase regional and global awareness of the thinktanks and their capabilities.	Nov 2024	10	30	Virtual meetings with the LUCCC network PoCs, and led by the PMU, have been conducted approximately every 6 months from July 2021 through the end of this PIR reporting period (June 2023). In-person LUCCC network-wide meetings to address items a-c will be held in October 2023 and September 2024.	<i>S</i>
<b>Output 3.1.2:</b> LUCCC thinktank upscaling & sustainability strategy developed	Dec 2023	0	0	The sustainability plan will be developed by the Capacity Development Hub. The hub has been slow to provide adequate staff to develop the project deliverables.	<i>MS</i>
<b>Output 3.1.3:</b> At least 2 knowledge products developed to synthesise and disseminate lessons learned and best practices from thinktank network	Dec 2024	0	0	Not yet started	N/A

#### 4. Risk Rating

##### [4.1 Table A. Project management Risk](#)

Please refer to the Risk Help Sheet for more details on rating.

Risk Factor	EA's Rating	TM's Rating
1. Management structure – Roles and responsibilities	<i>L/M/S/H: L</i>	<i>L</i>
2. Governance structure – Oversight	<i>L/M/S/H: L</i>	<i>L</i>
<b>3.</b> Implementation schedule	<i>L/M/S/H: M</i>	<i>M</i>
4. Budget	<i>L/M/S/H: L</i>	<i>L</i>

5. Financial Management	<i>L/M/S/H: L</i>	<i>L</i>
6. Reporting	<i>L/M/S/H: L</i>	<i>L</i>
7. Capacity to deliver	<i>L/M/S/H: M</i>	<i>M</i>

If any of the risk factors is rated a Moderate or higher, please include it in table B below.

**4.2 Table B. Risk-Log**

*Insert ALL the risks identified either at CEO endorsement (inc. safeguards screening), previous/current PIRs, and MTRs. Use the last line to propose a suggested consolidated rating.*

Risk	Risk affecting:	Risk Rating							Variation respect to last rating	
	Outcome / outputs	C E O E D	PI R 1	PI R 2	M T R	PIR 3 (this PIR)	PI R 4	PI R 5	Δ	Justification
1. LUCCC universities will not participate in the project (CEO endorsement)	All outcomes...	L	L						=	N/A
2. High turnover within the LUCCC universities' faculties and staff (CEO endorsement)	All outcomes	M	M						=	
3. During implementation, LUCCC university staff/faculty will not have time to work with the project. (CEO endorsement)	Outcomes 1.1 and 1.2	M	M						=	Participation rates in the project have been variable to date. Approximately one-third of the universities have demonstrated lacklustre participation rates in working with the PMU to undertake project activities leading to development of project outputs. This was seen in the development of the policy & institutional mapping.
4. LUCCC universities that	Outcomes 2.1 and 3.1	M	M						=	The fee-for-services model is not one that is widely used across the LUCCC network (according to the baseline study).



establish thinktanks will not support them after the project ends (CEO endorsement)									Other financial flows into think-tanks will likely be needed to sustain them. The re-design of the project (undertaken during this PIR period) to allow for additional financial arrangements (such as grants based) should help to mitigate this risk.
5. Governments will not utilise the services of the thinktanks (CEO endorsement)	Outcomes 2.1 and 3.1	L	M					↑	The rapid establishment of the think-tanks near the end of the project risks lack of government use due to lack of maturity of, and reflective learning by, the think-tanks in providing services.
6. The ongoing Covid-19 pandemic prevents the project from implementing its activities (CEO endorsement)	All outcomes	L	L					=	
7. Limited sharing and learning among participating universities (CEO endorsement)	Output 1.1.4	L	M					↑	The CDH needs to strengthen the knowledge and information resource management system. As it may undermine the ability of the LUCCC network to have robust sharing and learning of technical resources on climate finance (both internally produced and relevant external products) across the network.
8. Project activities do not benefit women and end up reinforcing existing gender inequalities	All outcomes	M	L					↓	Current work done by the project to integrate Gender considerations into outputs has reduced this risk.

(CEO endorsement)									
9. Project activities are impacted by climate change processes (e.g., flooding, storms) (CEO endorsement)	All outcomes	L	L					=	
10. Political instability/unrest affects project activities among participating countries (CEO endorsement)	All outcomes	M	L					↓	Political instability has not affected project countries thus far.
11. Low capacity of the mentoring institute to deliver on various project outputs	All outcomes	N/A	M						Delays in delivery of outputs from the mentoring institute have resulted in delays with implementing some of the project outputs
Consolidated project risk			M						

**Table B.** Outstanding Moderate, Significant, and High risks  
*List here only risks from Table A above that have a risk rating of M or higher in the current PIR*

Risk	Actions decided during the previous reporting instance (PIR <sub>t</sub> , MTR, etc.)	Actions effectively undertaken this reporting period	Additional mitigation measures for the next periods		
			What	When	By whom

<p>2. High turnover within the LUCCC universities' faculties and staff</p>	<p>N/A</p>	<p>Project is working with dedicated points of contact from the LUCCC universities</p>	<p>Training of trainers and capacity building activities to include multiple members from LUCCC universities so that more than one focal point from the university is trained.</p> <p>Capacity development will serve as a repository of knowledge and resources, improving overall network institutional memory.</p>	<p>Throughout project duration</p>	<p>Capacity development hub</p> <p>PMU</p> <p>Mentoring institute</p>
<p>3. During implementation, LUCCC university staff/faculty will not have time to work with the project.</p>	<p>N/A</p>	<p>One-on-one meetings between PMU and PoCs to identify, anticipate, and troubleshoot situations where PoCs are having trouble making time for the project.</p>	<p>Continued close communication between PMU and PoCs</p> <p>Think-tank coordinators are receiving salary support for which they can elect to allocate a portion for teaching releases.</p> <p>The think-tank business and sustainability plan will be designed to identify and proactively mitigate this risk.</p>	<p>Throughout the duration of the project</p>	<p>PMU</p>
<p>4. LUCCC universities that establish thinktanks will not support them after the project ends.</p>	<p>N/A</p>	<p>The project redesign allowed for multiple sources of funding (grants-based funding in addition to fee-for-services) in order to increase the ability of the TTs to be financially sustainable.</p>	<p>Continue to identify and support opportunities for grants-based funding of think-tanks.</p> <p>Business and sustainability plans will be co-developed between the Mentoring Institution and the think-tank coordinators. The business and sustainability plans will explicitly focus on potential areas of revenue generation to sustain the operations of the think-tanks.</p>	<p>To be on-going through the end of the project, once TT awards are made</p>	<p>PMU with PSC</p>

5. Governments will not utilise the services of the thinktanks	N/A	None	<p>PMU will work with the awarded think-tanks to work closely with their governments to increase the likelihood that governments will use TT services. The PMU will work with the comms team within GAN to highlight the think-tanks globally.</p> <p>The PMU will also look for cross-linkages with other LDC/LUCCC activities and priorities to increase visibility.</p>	August 2023 through the end of the project.	PMU and TTs
7. Limited sharing and learning among participating universities	N/A	Meeting between ICCCAD, UNEP, and START to develop a plan to address this risk	Follow up with CDH to ensure they develop and implement a plan to create a robust knowledge-sharing platform	Within calendar year 2023	EA and UNEP
11. Low capacity of the mentoring institute to deliver on various project outputs	N/A	None	Close communication between PMU, Mentoring institution, and the Think Tanks to anticipate and troubleshoot potential delays	To be on-going through the end of the project, once TT awards are made	PMU and MI

**High Risk (H):** There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.  
**Significant Risk (S):** There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.  
**Moderate Risk (M):** There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.  
**Low Risk (L):** There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

**Project Minor Amendments**

*Minor amendments are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5% as described in Annex 9 of the Project and Program Cycle Policy Guidelines.*

*Please tick each category for which a change occurred in the fiscal year of reporting and provide a description of the change that occurred in the textbox. You may attach supporting document as appropriate.*

*To be completed by Task Managers*

**5.1 Table A: Listing of all Minor Amendment**

- |  |   |
|--|---|
| <input type="checkbox"/> Results framework                             | <input type="checkbox"/> Minor project objective change             |
| <input checked="" type="checkbox"/> Components and cost                | <input type="checkbox"/> Safeguards                                 |
| <input type="checkbox"/> Institutional and implementation arrangements | <input type="checkbox"/> Risk analysis                              |
| <input type="checkbox"/> Financial management                          | <input type="checkbox"/> Increase of GEF project financing up to 5% |
| <input checked="" type="checkbox"/> Implementation schedule            | <input type="checkbox"/> Co-financing                               |
| <input type="checkbox"/> Executing Entity                              | <input type="checkbox"/> Location of project activity               |
| <input type="checkbox"/> Executing Entity Category                     | <input type="checkbox"/> Other                                      |

[\[Annex document linked to reported minor amendment\]](#)

<b>Minor amendments</b>	<p>-Results framework: Revisions were discussed with PSC members at the March 2023 meeting. Discussed changes are being integrated into a revised results framework to be formally circulated to PSC members and endorsed by October 2023.</p> <p>-Components and costs: The PSC endorsed project changes and associated budget revisions. START will work with UNEP in July to formally request budget changes.</p> <p>-Implementation schedule: The PSC approved a 1 year no-cost extension. UNEP will formally execute the no-cost extension in Q3 2023.</p>
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**5.2 Table B: History of project revisions and/or extensions**

*To be completed by Task Managers*

Version	Type	Signed/Approved by UNEP	Entry into Force (last signature Date)	Agreement Expiry Date	Main changes introduced in this revision
Original legal instrument					
Amendment 1	Revision				
Extension 1	Extension				

**GEO Location Information:**

The Location Name, Latitude and Longitude are required fields insofar as an Agency chooses to enter a project location under the set format. The Geo Name ID is required in instances where the location is not exact, such as in the case of a city, as opposed to the exact site of a physical infrastructure. The Location & Activity Description fields are optional. Project longitude and latitude must follow the Decimal Degrees WGS84 format and Agencies are encouraged to use at least four decimal points for greater accuracy. Users may add as many locations as appropriate. Web mapping applications such as [OpenStreetMap](#) or [GeoNames](#) use this format. Consider using a conversion tool as needed, such as: <https://coordinates-converter.com> Please see the Geocoding User Guide by clicking [here](#)

Location Name Required field	Latitude Required field	Longitude Required field	Geo Name ID Required field <u>if</u> the location is not an exact site	Location Description Optional text field	Activity Description Optional text field
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Independent University, Bangladesh (IUB)	23.8157	90.4277			
College of Natural Resources, Royal University of Bhutan	27.5165	89.8562			
University Joseph Ki-Zerbo, Burkina Faso	12.3772	-1.5008			
Climate Science Centre, Addis Ababa University	9.0337	38.7629			
The University of the Gambia	13.4605	-16.67589			
University of Liberia	6.2996	-10.79454			
Lilongwe University of Agriculture and Natural Resources (LUANAR), Mawali	-14.1795	33.7780			
Eduardo Mondlane University, Mozambique	-25.9521	32.6035			
School of Environmental Science and Management (SchEMS), Pokhara University, Nepal	27.6746	85.3420			
Center of Excellence in Biodiversity and Natural Resource Management, University of Rwanda	-1.9586	30.0633			
University of Cheikh Anta Diop, Dakar	14.7046	-17.4768			
University of Dar-es-Salaam	-6.7816	39.2057			
Makerere University Centre for Climate Change Research and Innovation (MUCCRI), Makerere University, Uganda	0.3326	32.5678			

Please provide any further geo-referenced information and map where the project interventions is taking place as appropriate. \*

[\[Annex any linked geospatial file\]](#)

*[Please provide any further geo-referenced information and map where the project interventions is taking place as appropriate]*



<https://batchgeo.com/map/7ff9c19db9894c50e1c0c110b0071ad8>