



GLOBAL ENVIRONMENT FACILITY  
INVESTING IN OUR PLANET

Naoko Ishii  
CEO and Chairperson

March 25, 2015

Dear SCCF Council Member:

UNEP and UNDP as the Implementing Agency for the project entitled: *Global: Assisting non-LDC Developing Countries with Country-driven Processes to Advance National Adaptation Plans (NAPs)*, has submitted the attached proposed project document for CEO endorsement prior to final approval of the project document in accordance with UNEP and UNDP procedures.

The Secretariat has reviewed the project document. It is consistent with the proposal approved by the SCCF Council in March 2014 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by UNEP and UNDP satisfactorily details how Council's comments and those of the STAP have been addressed. I am, therefore, endorsing the project document.

We have today posted the proposed project document on the GEF website at [www.TheGEF.org](http://www.TheGEF.org). If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

Naoko Ishii  
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document  
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee



# REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: Special Climate Change Fund

For more information about GEF, visit [TheGEF.org](http://TheGEF.org)

## PART I: PROJECT INFORMATION

Project Title: Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)			
Country(ies):	Global, non-LDCs	GEF Project ID: <sup>1</sup>	5683
GEF Agency(ies):	UNEP UNDP	GEF Agency Project ID:	UNEP:01247 UNDP:5347
Other Executing Partner(s):	UNEP and UNDP in partnership with UNITAR, FAO, IFAD, WHO, Global Water Partnership, UNFCCC, UNISDR	Submission Date: Resubmission Date:	16/01/2015 03/03/2015
GEF Focal Area (s):	Climate Change Adaptation	Project Duration (Months)	36
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of Parent Program	N/A		

## A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>2</sup>

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
CCA-2	Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	SCCF-A	2,250,000	20,900,000
CCA-3	Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened	SCCF-A	2,250,000	20,900,000
<b>Total project costs</b>			4,500,000	41,800,000

## B. PROJECT DESCRIPTION SUMMARY

<b>Project Objective: strengthen institutional and technical capacities for government officials and decision-makers iterative development of comprehensive NAPs in non-LDCs.</b>						
Project Components/ Programs	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
Institutional support to develop national-level roadmaps (Overseen by UNDP).	TA	Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	Output 1.1 Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	SCCF-A	1,388,889	29,917,516
			Output 1.2 Technical assistance provided to countries to strengthen/establish			

<sup>1</sup> Project ID number remains the same as the assigned PIF number.

<sup>2</sup> When completing Table A, refer to the GEF Website, [Focal Area Results Framework](#) which is an *Excerpt from GEF 6 Programming Directions*.

<sup>3</sup> Financing type can be either investment or technical assistance.

			appropriate institutional coordination and financial arrangements to support NAP process			
			Output 1.3 National support provided towards developing NAP roadmaps and advancing the NAP process including elements for monitoring the progress of their implementation			
Component 2: Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)	TA	Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.	Output 2.1: Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	SCCF-A	1,896,992	3,071,370
			Output 2.2: National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium-to long-term adaptation.			
			Output 2.3: Web-based training materials prepared for use by countries as they commence their respective NAP processes.			
Component 3: Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)	TA	Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.	Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (overseen by UNEP).	SCCF-A	880,786	4,559,638
			Output 3.2 South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and			

			budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).			
			Subtotal		4,166,667	37,548,524
Project Management Cost (PMC) <sup>4</sup>				SCCF-A	333,333 <sup>5</sup>	4,251,476
<b>Total project costs</b>					4,500,000	41,800,000

If Multi-Trust Fund project : PMC in this table should be the total and enter trust fund PMC breakdown here (UNEP: US\$ 146,666, UNDP: US \$186,667)

### C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include confirmed co-financing letters for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
GEF Agency	UNDP	Grant	38,000,000
GEF Agency	UNEP	Grant	800,000
UN Organisation	UNITAR	Grant	3,000,000
<b>Total Co-financing</b>			41,800,000

### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee <sup>a)</sup> (b) <sup>2</sup>	Total (c)=a+b
UNDP	SCCF	Global	Climate Change	N/A	2,250,000	213,750	2,463,750
UNEP	SCCF	Global	Climate Change	N/A	2,250,000	213,750	2,463,750
<b>Total Grant Resources</b>					4,500,000	427,500	4,927,500

a ) Refer to the Fee Policy for GEF Partner Agencies

<sup>4</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

<sup>5</sup> Given the global context and complexity of the problem addressed by the project, a higher PMC cost is requested. At PIF stage, it was agreed to cap PMC at 8% for this project.

## E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>6</sup>

Provide the expected project targets as appropriate.

This is not applicable.

## PART II: PROJECT JUSTIFICATION

### A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF<sup>7</sup>

No significant changes in alignment with the project design of the original PIF have been made. However, as the project is global in scope, substantial consultations were carried out during PPG phase with numerous country representatives and development partners during international and regional climate change-related events, as well as Adaptation Committee meetings. Based on these consultations and guidance from the Adaptation Committee, UNFCCC, and key partners, as well as taking into account lessons and experiences that unfolded from the NAP GSP for LDCs and other NAP initiatives from partners, some of the outputs and the scope of some of the activities were revised, to better reflect the priorities highlighted in such consultations. A summary of these consultations can be found in Annex B of the UNDP PD and Annex 20 of UNEP PD.

Further, the wording of Outcomes 2 and 3 have been altered to make them more specific, they remain based on the same underlying principles as the wording in the PIF.

The table summarises the most significant changes in terms of the project's outputs.

**Table 1. Revisions to Outputs during the PPG phase**

<b>Output as written in PIF</b>	<b>Output revised during the PPG</b>
Output 1.2 Technical support towards national and sub-national institutional and coordination arrangements in non-LDCs, including financial and other requirements for advancing medium-to-long term adaptation planning and budgeting.	Output 1.2 Technical assistance provided to countries to strengthen/establish appropriate institutional coordination and financial arrangements to support NAP process.
Output 1.3 National roadmaps on the NAP process are formulated, including elements for monitoring the progress of their implementation.	Output 1.3 National support provided towards developing NAP roadmap and advancing the NAP process, including elements for monitoring the progress of their implementation.
Output 2.2 National teams are trained in the use of tools and approaches to advance the NAP process and budgeting, through regional thematic workshops.	Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium-to long-term adaptation.
Output 2.3. Web-based training materials prepared for use by countries as they commence their respective NAP processes.	Output 2.3. Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.
Output 3.1 Knowledge and information system established.	Output 3.1. Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long-term development planning (Overseen by UNEP).

<sup>6</sup> Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

<sup>7</sup> For questions A.1 –A.7 in Part II, if there are no changes since PIF, no need to respond, please enter “NA” after the respective question.

Activities under Outputs 1.2, 3.1, and 3.2 have introduced additional concepts, following stakeholder consultations and lessons learned from ongoing NAP GSP for LDCs. Rationale and activities are listed below:

The rationale for Outcome 1 is to provide tailored support to non-LDCs for specific needs in the context of their respective NAP processes. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee's NAP Task Force to match NAP support to country needs as well as lessons learned from the NAP GSP for LDCs.

#### Output 1.2:

Based on the above-mentioned rationale, targeted one-on-one support focused on finance instruments, economics, and appraisal of adaptation options is deemed necessary and highly beneficial, to enhance technical capacities of government officials in key areas to sustain NAP processes.

- *Activity 1.2.3: Deliver in-country training, based on country requests, on: applying the LEG guidelines on NAPs in the local contexts; conducting project and sectoral level cost-benefit analysis to identify economically-efficient and sustainable adaptation options, including web-based courses, as well as housing training materials in local universities and/or learning institutions (e.g. UNU); introduction to principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.); techniques of designing/developing bankable projects.*

Note: Under Outcome 1, all assistance will be provided to countries based on demand, and will consider country priorities representing different stages of the NAP process. During the inception phase of the project, UNDP and UNEP will announce a "call for technical assistance" from eligible countries to this programme. Requests will be tracked in an online repository and made available online in the project's website. Capitalizing on the successful and long-standing partnership that UNDP and UNEP have built for supporting NAPs with other UN Agencies, NGOs, bilateral donors, etc., each request will be reviewed in collaboration with the partners, so that the appropriate expertise and support are identified and delivered in a timely and cost-effective manner.

#### Output 3.1:

Rationale: Stakeholder consultations revealed a request for continued technical support and collective learning among countries with similar adaptation priorities. Hence, the concept of communities of practice has been introduced in activity 3.1.2:

- Activity 3.1.2 Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experience and review NAP related products.

#### Output 3.2:

Rationale: During PPG consultations, countries recognized an appetite to upscale adaptation interventions and contribute to technical and financial stability of national and sub-national policy interventions (including NAPs) by involving the private sector. Therefore, it was decided that this output focuses on identifying entry points to engage with the private sector in adaptation technologies/businesses. Further, this output will feed these lessons and experiences into the virtual platforms created in Output 3.1 to foster regional, South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

- Activity 3.2.2 Identify entry points, formulate business cases, and policy frameworks for private sector involvement in NAP/adaptation processes.

- Activity 3.2.3 Feed lessons and experiences into the virtual platforms created in Output 3.1 to foster regional and South South exchange and partnerships and private sector financial opportunities.

The following changes have been made to the allocation of SCCF resources between Outcome 2 and Outcome 3<sup>8</sup>. No changes were made to the resources allocated to Outcome 1.

**Table 2. Revision to the budget during the PPG phase**

Budget allocated in the PIF		Budget allocated during PPG	
Outcome 2:	1,388,889	Outcome 2:	1,896,992
Outcome 3:	1,388,889	Outcome 3:	880,786
<b>Total:</b>	<b>2,777,778</b>	<b>Total:</b>	<b>2,777,778</b>

An amount of US \$508,103 has been transferred from Outcome 3 (Output 3.1) to Outcome 2. Following stakeholder consultations, technical assistance on key steps in the NAP process – provided through Outcome 2 – emerged as a priority. In particular, requests were made for this technical assistance to be provided to groups of countries with shared circumstances and similar approaches to adaptation. Additionally, lessons learned from the NAP GSP for LDCs revealed the cost of training workshops to exceed that which was originally budgeted within that project. Therefore, the total reallocated amount of US \$508,103 will be used for Activity 2.2.2 *Organise at least 10 sub-regional or thematic workshops on the application and use of tools, application of methods, and NAP guidelines and relevant elements of the Adaptation Committee work programme using the training material developed in Output 2.1.4*. A cost-effective approach for workshops has been adopted as described below.

- Where possible, sub-regional training workshops will be held to minimise travelling costs.
- Representative from key ministries will attend workshops and serve as national champions and relay workshop training to national and local stakeholders in their respective countries.
- Training materials from the workshops will be adapted for online publication and disseminated through activities under Outcome 3.

It is estimated that each workshop with ~33 attendees (~ 3 per country) will cost ~US \$116,500<sup>9</sup>. The total resources allocated to workshops are therefore ~US \$1,165,000. In contrast, the activities of Output 3.1 are largely to be conducted remotely/online, which is a cost-effective means to reach a large number of stakeholders. The cost-effectiveness of Output 3.1 is further ensured through the use of existing platforms for knowledge and information on adaptation upon which the activities of Output 3.1 will build.

**A.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions, if applicable (yes /no  ). If yes, which ones and how: NAPAs, NAPs, NBSAPs, ASGM NAPs, MIAs, NCs, TNAs, NCSA, NIPs, PRSPs, NPFE, BUR, etc.**

There have been no changes in alignment with relevant national strategies and plans since the original PIF. The SCCF-financed project is aligned with the following global and regional conventions:

- United Nations Environment Programme’s Programme of Work;
- United Nations Framework Convention on Climate Change (UNFCCC);
- Hyogo Framework for Action (HFA);
- Millennium Development Goals (MDGs); and Sustainable Development Goals (SDGs) and
- Adaptation Committee (AC).

The SCCF-financed project recognises existing national development plans as well as national plans for climate change adaptation as entry-points upon which the NAP process can build. For additional information on the SCCF-financed

<sup>8</sup> Each GEF agency remains responsible for the administration of US \$2,250,000 of SCCF resources.

<sup>9</sup> Excluding the cost of the facilitator and administration costs.

project's alignment with national strategies please refer to Section 2 of the UNDP Project Document and Section 2.4 of the UNEP Project Document.

## **A.2. GEF focal area<sup>10</sup> and/or fund(s) strategies, eligibility criteria and priorities.**

The SCCF-financed project will be endorsed under GEF-6 Programming. However, the PIF was approved under GEF-5 Programming. Therefore, the LDCF/SCCF Focal Area Objective of the project has changed. The project will contribute to the following LDCF/SCCF Focal Area Objectives:

- CCA-2: Strengthen institutional and technical capacities for effective climate change adaptation
- CCA-3: Integrate climate change adaptation into relevant policies, plans and associated processes

The GEF-5 CCA-1 objective was removed because the project is no longer aligned with the equivalent objective under GEF-6 Programming given the changes to both the project design during the PPG phase and the changes to the LDCF/SCCF Objectives.

Table A indicates the funds that are allocated to the relevant Focal Areas under the Results-Based Management Framework.

There have been no changes in the GEF/SCCF eligibility criteria and priorities since the original PIF.

## **A.3 The GEF Agency's comparative advantage:**

No significant changes have been made since the PIF. For additional information on the comparative advantage of GEF agencies please refer to Section 2.3.2 of the UNDP Project Document and Appendix 17 of the UNEP Project Document.

## **A.4. The baseline and any associated baseline projects:**

The problem that the project seeks to address has not changed from the PIF. This problem is that many non-LDCs do not presently have the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process to consider climate change in national development planning. Given the current and emerging detrimental effects of climate change, addressing these knowledge and capacity gaps is urgent. The solution to this problem is to develop technical expertise, improve coordination mechanisms and promote the sharing of knowledge and best practices among non-LDCs. The SCCF-project will contribute to this solution through: i) improving national coordination mechanisms for multi-sectoral planning, budgeting, implementation and monitoring at the national and sub-national levels; ii) increasing in-country knowledge and technical capacity; and iii) improving South-South and North-South exchange of lessons and knowledge.

In the context of global support programmes it is important to recognize that whatever baseline scenario is noted at the inception of a project, is subject to change quickly and dramatically. In the case of this project, the list of initiatives above are by no means exhaustive to the present or near-future baseline scenario. Under-way initiatives from development partners, donors, multilateral funds, NGOs, etc., will continue to modify the space of ongoing support for developing country Parties to advance their NAP processes (or similar themes, such as: improving country systems to better absorb climate change finance; climate change tracking and coding in national and subnational budgets, CPEIRs, integrating climate risks, scenarios and opportunities in development plans at the national and subnational levels, etc.). Further, as the Green Climate Fund (GCF) continues to progress in its full operationalization, further support to eligible countries on "readiness" activities can also be expected, which are clearly in line with development of NAPs (for climate change adaptation finance eligibility, at least).

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<sup>10</sup> For biodiversity projects, please describe which Aichi Target(s) the project will directly contribute to and what indicators will be used to track progress towards achieving these specific Aichi target(s).



It is for this reason that during the implementation of this programme, UNDP and UNEP will ensure that proactive efforts and robust mechanisms are in place to enhance coordination with ongoing and new-coming initiatives. This coordination must involve, inter alia, the following steps: stocktaking of the ongoing and new-coming initiatives and their expected outcomes; identifying entry points for synergies and collaboration; and, where appropriate establish solid partnerships to provide a seamless, consistent, and congruent support to countries under the different pillars (components) of the SCCF programme.

Finally, UNDP and UNEP recognize that the SCCF-funded programme will operate in a time where, regardless of this programme, countries are likely to escalate and improve their ongoing efforts towards low-emission and climate resilient development plans, policies and programmes at national and sub-national levels. Some eligible countries under the SCCF-funded programme may therefore count with sufficient capacities to make significant contributions (in-kind, in the form of technical assistance, or as additional finance) to the SCCF interventions aimed at progressing their NAPs. Finally, current and future initiatives from partners mentioned above may also account for significant contributions to the SCCF-funded activities in a given country. All this should be taken into account when establishing the aforementioned coordinating mechanism so that, to the extent possible, the additionality of this SCCF programme is maintained in spite of an unavoidable dynamic baseline scenario (current and future).

There have been some changes to the baseline projects since the PIF.

At PIF, co-financing activities were listed as:

- Low Emission Capacity-Building (LECB) Programme (UNDP) - \$30,000,000
- PROVIA (UNEP) - \$300,000;
- Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation (C3D+) (UNITAR) - \$3,000,000;
- Climate Technology Centre and Network (CTCN) (UNEP) - \$1,000,000; and
- Global Adaptation Network (UNEP)- \$300,000.

At CEO Endorsement, the baseline projects that are providing confirmed co-financing are:

- Low Emission Capacity-Building (LECB) Programme (UNDP) - \$15,000,000;
- Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs) (UNDP) – \$8,000,000;
- The Japan-Caribbean Climate Change Partnership (UNDP) – \$15,000,000;
- UNITAR’s One UN Training Service Platform on Climate Change (UN CC:Learn) – \$3,000,000;
- Global Adaptation Network (GAN) - \$550,000;
- West Asia Regional Network on Climate Change (WARN-CC) – \$50,000;
- Asia Pacific Adaptation Network (APAN) – \$100,000; and
- Regional Gateway for Technology Transfer and Climate Change Action (REGATTA) – \$100,000.

Given the delivery of the LECB programme during 2014 and expected for 2015, the co-financing amount was reduced from \$30M to \$15M.

During PPG consultations, co-financing was not available from the *Programme of Research on Climate Change Vulnerability, Impacts and Adaptation* and the *Climate Technology Centre and Network*, as had originally been anticipated during the PIF formulation. In addition, the *Green Climate Fund Readiness Programme* is still in the inception phase and is consequently not able to provide co-financing. However, the project design remains aligned with these initiatives and will coordinate closely with them during implementation. For additional information on the baseline projects please see Section 2.4 of the UNDP Project Document and Section 2.6 of the UNEP Project Document.

The stakeholder consultations during the PPG have allowed for a more detailed baseline situation, which considers the varying levels of technical and institutional capacity of non-LDCs. Details on the baseline situation are described below.

### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

Stakeholder consultations indicate existing adaptation policies, strategies and plans are at different stages, and vary in scope and approach. For example:

- Several countries in the Pacific region have developed, or are in the process of developing, Joint National Action Plans (JNAPs) which seek to address climate change adaptation and disaster risk reduction comprehensively.
- Policies in Eastern European and Latin American countries combine climate change mitigation and adaptation, citing that approaching climate change adaptation alone will not adequately address their challenges.
- Countries from the Balkan region have started the process of harmonization of policies and legislation with the European Union, including on climate change.
- Some non-LDCs have only recently graduated from LDC status (e.g. Maldives), and have National Adaptation Programmes of Action (NAPAs)<sup>11</sup>, which were not fully implemented. They therefore continue to use their existing NAPA to guide adaptation planning.
- Many countries cited effective sub-national or sectoral planning documents and action plans, which can be built upon by expanding their current scope to a national level and/or towards a medium- or long-term view.

Climate change action in countries is often led by the ministries of environment, with little or ineffective coordination with other planning and line ministries. As climate change is cross-sectoral with economy-wide impacts, inter-ministerial cooperation is critical to ensure that climate change is integrated into development planning, and must therefore be enhanced. Consultations with countries indicated varying successes and challenges related to effective coordination. While some countries felt they had effective systems in place and simply needed support to advance their NAP, others requested support to first sensitize the various ministries on how climate change could impact their respective sectors as well as their related medium- to long-term planning.

Plans and strategies are in place in many developing countries, but they still face the challenge of securing finance for implementation of those plans. There is limited access to acquiring technical and financial assistance for adaptation, and available sources of international and domestic public funds are often insufficient to meet adaptation needs. Technical capacity is lacking in areas such as economic analysis and developing bankable projects, which would prove efficiency and effectiveness in light of other adaptation options – thus improving the quality proposals for funding from various sources.

The UNDP-led *Economics of Adaptation Capacity Building Programme*, in partnership with USAID, ADB, and GWP has provided training on project-level cost-benefit analysis, sectoral analysis (for the agriculture and water sector) including on microeconomic and hydro-economic modelling techniques. Working in Asia, Africa and the Pacific, the objective of the programme is to strengthen the capacity of technical officers in ministries of planning/finance, as well as line ministries (environment, agriculture, water, public works, and others) to assess economic costs and benefits when evaluating different adaptation alternatives, as they relate to medium- and long-term national, sub-national and sectoral development plans.

The ECCA programme's participating non-LDCs include: Cameroon, Fiji, FS Micronesia, Ghana, Indonesia, Maldives, Mongolia, Mozambique, Philippines, Samoa, Solomon Islands, Sri Lanka, Thailand, Tunisia, Tuvalu, Viet Nam and Zimbabwe.

The COP agreed that planning for adaptation at the national level is a continuous, progressive and iterative process<sup>12</sup>. A critical component of an iterative process is a monitoring and evaluation mechanism, results of which would feed back

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<sup>11</sup> National adaptation programmes of action (NAPAs) provide a process for Least Developed Countries (LDCs) to identify priority activities that respond to their urgent and immediate needs to adapt to climate change – those for which further delay would increase vulnerability and/or costs at a later stage. ([http://unfccc.int/national\\_reports/napa/items/2719.php](http://unfccc.int/national_reports/napa/items/2719.php))

<sup>12</sup> Decision 5/C p.17, paragraph 2

into the ongoing process and be used in producing updated NAPs, and other relevant plans, on a periodic basis<sup>13</sup>. This was an area where countries requested additional guidance.

The LECB Programme assists developing countries to improve the comprehensiveness and quality of their monitoring, reporting, and verification (MRV) actions under the UNFCCC and enhance national capacity to establish national MRV systems for tracking climate change resources, as well as greenhouse gas emissions reductions. With support from UNDP, climate public expenditure and institutional reviews (CPEIR)<sup>14</sup> are ongoing in the following countries: Indonesia, Morocco, Philippines, Samoa, Thailand and Viet Nam. LECB support to countries also includes CPEIRs as well as assessments of the private sector. Part of the analyses will involve setting forth recommendations on how to overcome the barriers to obtain private sector financing for climate change mitigation. Usually these barriers are related to risk-reward relationship of the investment itself of the country's investment environment; low technical capacity levels and a lack of information. Therefore to overcome such barriers, it has been noted that governmental interventions should alter the risk-reward relationship in such a way as to make mitigation technologies more competitive, locally against business-as-usual development options/technologies.

The LECB Programme supports 25 countries, 22 of which are non-LDCs: Argentina, Chile, China, Colombia, Costa Rica, Ecuador, Egypt, Ghana, Indonesia, Kenya, Lebanon, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Tanzania, Thailand, Trinidad and Tobago, Viet Nam and Zambia.

The 4-year **Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)** aims to integrate climate change risks and opportunities related to livelihood options from the agricultural sector within existing national planning and budgeting processes. The project, funded by the International Climate Initiative (ICI) of BMUB (German Government) is focused on Kenya, Nepal, Philippines, Thailand, Uganda, Uruguay, Vietnam, and Zambia. The goal of the project will be achieved through four main pillars: i) strengthening the institutional capacity of key ministries (Agriculture, Environment and Planning) and local government on NAPs; ii) developing integrated roadmaps for agriculture sector NAPs; iii) improving the evidence-based results for NAPs using experimental design frameworks; and iv) conducting knowledge sharing and advocacy on NAPs.

The particular focuses of the ICI project are described below.

- Strengthen key ministries including of agriculture, environment, planning, local government to mainstream climate into key sectors. Existing methods and tools will be employed for officers to i) understand the implications of climate change on the agriculture sector and others; ii) to incorporate key priorities within the existing planning and budgeting process at the national and sub-national level.
- Develop integrated roadmaps for NAP. This will strengthen and institutionalise processes for the formulation of climate-resilient NAPs addressing agricultural sectors' concerns and others. Each country will develop, in the context of the ongoing NAPs process, a roadmap and advanced NAPs, including cost-benefit assessments of adaptation options and budgeting aspects.
- Improve evidence-based results for NAPs; this will generate evidence-based results of adaptation options for the agricultural sectors using experimental design principles in a monitoring framework, serving also as an input into the policy dialogue on national adaptation planning.
- Conduct advocacy and knowledge sharing on NAPs: this will enhance the exchange on integrated climate change risks and adaptation measures (adaptation plans).

The **Japan-Caribbean Climate Change Partnership** is aimed at promoting policy innovation to incubate and disseminate climate technology in Dominica, Grenada, Saint Lucia, Saint Vincent and the Grenadines, Guyana, Jamaica, Belize and Suriname. It is expected that through this initiative, mitigation and adaptation interventions will be implemented on the ground, in line with the countries' long-term strategies. Furthermore, the project seeks to strengthen the capacity of countries in the Caribbean region to invest in adaptation and mitigation technologies, as prioritised in their NAMAs and/or NAPs. These technologies will help reduce the dependence of the Caribbean region on fossil fuel

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<sup>13</sup> 2012, LDC Expert Group, National Adaptation Plans – Technical guidelines for the national adaptation plan process, pg 14.

<sup>14</sup> CPEIRs are analysis of allocation and management of public expenditures related to climate change, used to provide key guidance to strategic planning and budget preparation and to identify ways in which to improve the efficiency and effectiveness of resource allocations.

imports thereby promoting low-carbon development in the region. Moreover, this will improve the region's ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond a disaster response to short-term (extreme) events. The facility will help the integration of climate risks and opportunities into economic planning and budgeting across key sectors e.g. water, energy, agro-forestry, urban/transport (upstream level). This integration will promote investments in concrete adaptation and mitigation technology e.g. solar PV for irrigation and electricity generation, early warning system equipment, solar water heaters, energy efficient lighting (downstream level). It will provide a regional platform for the promotion of low-emission and climate-resilient technologies for the Caribbean, considering the multi-sector coordination challenges amongst climate change and other stakeholders in the region. Through a regional approach, the project aims to attract and catalyse additional/incremental technology investments, by removing the barriers preventing investment into these applications: financial (upfront cost of adaptation/mitigation technologies), information (limited awareness of their long-term benefits) and capacity (policy/technical, institutional and individual constraints to embrace these technologies).

The Japan-Caribbean Climate Change Partnership project provides policy support and capacity building to ensure the continuous monitoring of the: i) progress; ii) productivity; iii) feasibility and profitability (using cost-benefit analyses); and iv) acceptability by the farmers of various interventions. This is in the context of supporting countries to commence a process of advancing energy security and integrating medium- to long-term planning for adaptation to climate change within, or aligned with, current development planning and budgeting processes.

For the implementation of Component 1, the SCCF programme will build on and complement the successes of the ECCA, LECB, ICI, and Japan-Caribbean Climate Change Partnership projects by: a) capturing adaptation needs and related budget considerations, b) including technical training relevant for supporting medium and long-term planning for adaptation and/or c) further applying best practices and lessons learned to other countries and regions. Importantly, UNDP will stay abreast of developments by partners related to NAP support throughout project implementation to ensure collaboration and complementarity.

## **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

At present, relevant government institutions and other stakeholders in non-LDCs do not have sufficient technical knowledge to advance country-specific NAP processes. For example, planning ministries within non-LDCs seldom have access to evidence-based technical tools, methods, guidelines and supplementary material – hereafter referred to as toolkits – for integration of adaptation priorities into medium- to long-term development planning, despite the existence of a number of toolkits applicable to the NAP process. Up until now, these toolkits have been designed largely for the purposes of LDCs.

Despite the lack of availability of toolkits relating to the NAP process geared towards non-LDCs, the preparation of NCs has contributed to non-LDCs having basic knowledge on climate change impacts and vulnerabilities as well as adaptation interventions that are socially appropriate and cost-effective. This is largely based on the UNFCCC guidelines developed by the Consultative Group of Experts on National Communications (CGE). These guidelines include prioritising and designing national adaptation programmes for major sectors that are vulnerable to climate change. However, there is little support to apply these guidelines within country-specific contexts.

The LEG NAP technical guidelines were developed to provide guidance to LDCs on advancing their NAP processes. LDCs that have engaged with these guidelines for initial NAP processes have found them to be useful, however some LDCs (e.g. Bangladesh) have expressed that additional guidelines and support are needed. Furthermore, these guidelines may require adjustments to address the context of non-LDCs. At present, the guidelines remain broad and do not provide sufficient guidance on particular geographic/regional or sectoral adaptation priorities. For example, many SIDS consider disaster risk management to be integral to climate change adaptation owing to their particular vulnerability to climate-induced disasters such as storm surges. Furthermore, sharing of knowledge and experiences among non-LDCs on the application of available guidelines within relevant geographies/regions<sup>15</sup>, themes<sup>16</sup> and

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<sup>15</sup> E.g. SIDS, Central Asia, Latin America.

<sup>16</sup> E.g. vulnerability analyses, local-level planning, cost-benefit analyses.

sectors<sup>17</sup> are limited. The guidelines are thus perceived as being broad and generic, with few non-LDCs having access to working examples of the application of the guidelines within their particular socio-economic and environmental contexts. For example, Granada has begun the NAP process with support from GIZ, however this experience is not shared among SIDs.

The application of the current toolkits in non-LDCs for the NAP process is constrained by a number of factors.

- Firstly, lessons learned from LDCs on advancing their NAP processes<sup>18</sup> have shown that the proliferation of toolkits is creating confusion among user countries. This is also the case for non-LDCs, where the available toolkits are not always understood by the intended users. The undefined relation between toolkits and the application of different toolkits during different stages of the NAP is creating confusion. The result is limited application of available toolkits for adaptation planning in non-LDCs. There is a need to review the relevant toolkits with a view to packaging and linking them more effectively to improve clarity and understanding of what distinct sectors different toolkits can address.
- Secondly, the application of the existing toolkits is further constrained by limited technical capacity of relevant institutions in non-LDCs. Because of this, technical support on the application of the toolkits has been identified by non-LDCs as a priority need. For example, Ecuador has requested technical support to apply guidelines related to vulnerability analyses e.g. PROVIA guidelines.
- Thirdly, many of the current toolkits are only available in a limited number of languages. This limits the ease of application of such toolkits in non-LDCs where government staff are not fluent in the languages in which these toolkits are available. For example, stakeholders consulted during the PPG phase indicated that the current toolkits need to be available in French for application in Francophone countries. Similar needs were expressed for translation of tools into Spanish for Latin American countries and Arabic for West Asian countries.

As a result of *inter alia* the three factors described above, appropriate measures for adaptation are not fully included in national, sectoral and local policies and plans for the medium- to long-term. Current toolkits available require: i) revisions to consider the contexts of non-LDCs; ii) clarification regarding the role and relation of toolkits; iii) improved applicability through the provision of technical support to non-LDCs; and/or iv) improved availability to non-LDCs.

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

Under this Outcome, the SCCF-financed project will focus on making existing knowledge widely available as well as facilitating South-South and North-South transfer of knowledge to countries for future work (particularly for the benefit of those countries that do not receive one-on-one support through this project). Sustained access to knowledge and lessons learned generated/collated by the project will help to maintain the technical and institutional capacities required by countries to undertake the NAP process. Consequently, Component 3 will focus on disseminating knowledge and exchanging country-specific lessons and experiences on advancing the NAP process through improved South-South and North-South cooperation. To this end, systems to facilitate knowledge sharing will be established or enhanced. Dedicated web-platforms will be used for these systems, building on existing knowledge platforms such as the WARN-CC, ALM, APAN and AAKNet and those established through the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project. This will improve cost-effectiveness and enhance existing online knowledge exchange.

Further, during PPG consultations, countries expressed great interest in learning about the experiences of other countries related to the NAP process. While various platforms exist for sharing information (see section 2.3.1 Links to Baseline Initiatives), they are not necessarily tailored enough so that information is a) specific or applicable to the country's own NAP process, b) demonstrating the value of NAP to reduce vulnerability, or c) showcasing how challenges such as sustainability and access to finance were addressed. More tailored information is needed, to make these important links. Access to finance for adaptation is a critical concern for non-LDCs. Incentivizing private sector investment provides an opportunity to supplement public finance for greater impact in addressing medium- to long- term adaptation priorities.

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<sup>17</sup> E.g. water, agriculture, health.

<sup>18</sup> Through *inter alia* the LDCF Global Support Programme on NAPs for LDCs.

Of the \$224 billion annually invested by the private sector in climate change, only an estimated 6% is for adaptation<sup>19</sup>. This figure however may be understated. Private sector investment in adaptation is difficult to define and therefore difficult to capture. For example, the private sector must make adjustments in order to stay profitable in light of climate change (e.g. investing in climate-resilient crops or adaptation technologies in response to climate-induced reduced crop yield). These adjustments are not necessarily marked as ‘adaptation’, or reported in that manner. Private sector investment in renewable energies, on the other hand, has a more obvious link to climate change mitigation and can therefore be more easily tracked.

There is a clear knowledge gap on how the private sector can contribute to national adaptation goals and targets. This can be seen from both sides: the private sector is unaware of opportunities, and government is unaware of how best to incentivize private sector engagement for adaptation.

The experience of LECB (mentioned as a baseline project under Component 1) demonstrates that engagement of the private sector will also help build the capacities and technical expertise of the “team” that is leading the design of GHG mitigation programmes and their integration in national priorities. The private sector analysis methodology to be used is being developed through Oxford Consulting Partners, with a draft expected by end-2014. There are opportunities to build on this work of the LECB Programme to include climate change adaptation entry points in the private sector analyses being carried out in LECB countries.

**The Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)** project will conduct evidence-based results monitoring, advocacy and knowledge sharing on NAPs. This will enhance the exchange on integrated climate change risks and adaptation measures (adaptation plans) nationally, and thus South-South cooperation. The evidence-based approach employed by the project speaks to the desire expressed by countries to learn from proven, tested approaches to addressing climate change, employed by countries in similar development situations and with similar climate change challenges. This approach is also useful as governments increase their engagement with private partners for catalytic investments and finance to adaptation planning and implementation. There is an opportunity to expand of the scope of dissemination of such knowledge beyond the scope of countries targeted by the ICI project.

Efforts to formalise private sector investments in climate change adaptation, is a goal of the **Japan-Caribbean Climate Change Partnership** project which seeks to develop public-private partnerships to promote adaptation and technology transfer. Lessons learned and best practices will be shared through forums, bringing together representatives of Government, private sector, regional and international organisations. This is critical to addressing the need for more experiences of how countries could engage the private sector to more effectively adapt to climate change. As these experiences would benefit not only NAP formulation and implementation in the Caribbean, there are opportunities for South-South Cooperation by further sharing this information to other regions.

**A. 5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:**

The additional cost reasoning has been updated since the original PIF. The revised additional cost reasoning is described below.

### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

An overwhelming consensus in the stakeholder consultations that took place in the design phase of this project was the need for flexibility in the NAP process so that preferred approaches to addressing climate change at the country level

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<sup>19</sup> Landscapes of Climate Finance 2013, Climate Policy Initiative

could prevail. This is consistent with COP guidance, which states that NAPs should not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action<sup>20</sup>.

Countries also expressed the need for tailored support in order to further advance in the NAP process. The LEG has developed guidelines for the NAP process in LDCs. It is uncertain at this point if guidelines will be developed which are specific to non-LDCs. However, as the guidelines developed by the LEG for LDCs can apply to all countries, the SCCF project can benefit from the related lessons learned, and apply the guidelines, tailoring as necessary to the local context.

This outcome seeks to support countries by a) taking stock of information and processes of relevance to the NAP and identify gaps, b) providing technical training to address those gaps, and c) providing support towards developing country-specific NAP roadmaps.

For countries requesting support to advance the NAP process, a stocktaking is needed to take inventory of existing planning documents, highlight potential entry points for the NAP process, and identify capacity gaps that need to be addressed in order to integrate climate change into medium- and long-term planning. As stated above, there are ongoing related efforts that could be built upon to either expand their scope (i.e. successful sectoral/sub-national plans) or their visions revised towards the longer term. Efforts include identifying or revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead (e.g. UNFCCC focal point), and identify key stakeholders. Representation in the national team should include national, subnational, and community level, as well as, where appropriate development partners, academia, and the private sector.

Access to finance and related training were key concerns raised by countries during consultations undertaken during the PPG phase. For this reason, training available through this outcome is focused on supporting countries to improve on the identification of more bankable projects that are attractive to donors and existing and emerging funds. This will require that countries start applying available tools and methods that will help them to better understand the likely net benefits of alternative projects, trade-offs and then select those which maximize overall net benefits. Countries will also need to better understand and implement strategies to attract innovative finance towards adaptation. Training will be made available on applying cost-benefit analysis in identifying bankable projects and innovative financial schemes. Where possible, training will be delivered through small in-country workshops promoting inclusion of participants of various sectors.

## **Outputs and Indicative Activities**

### **Component 1. Institutional support to develop national-level roadmaps (overseen by UNDP)**

This outcome is designed so that countries can receive support in areas that are most relevant for themselves. Support available to countries will be tailored to specific country needs in the context of their respective NAP process. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee's NAP Task Force to match NAP support to country needs.

This UNDP-overseen component will focus on in-country support. Assistance will be provided to countries based on demand, and will consider country priorities representing different stages of the NAP process. During the inception phase of the project, UNDP and UNEP will announce a "call for technical assistance" from eligible countries to this programme<sup>21</sup>. Requests will be tracked in an online repository and made available online in the project's website. Capitalizing on the successful and long-standing partnership that UNDP and UNEP have built for supporting NAPs (amongst UN Agencies, NGOs, bilateral donors, etc.), each request will be reviewed in collaboration with the partners, so that the appropriate expertise and support are identified and delivered in a timely and cost-effective manner.

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<sup>20</sup> Decision 5/C p .17, paragraphs 3 and 4

<sup>21</sup> As stated above, developing countries, which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

## Outputs and Indicative Activities

*Output 1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified*

- 1.1.1. Revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders
- 1.1.2. Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process
- 1.1.3. Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels
- 1.1.4. Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalized on and weaknesses that need to be strengthened)
- 1.1.5. Document the results of various stakeholder consultations so that countries can build and act upon priorities

The above-mentioned baseline projects are already rolling out similar outputs in some of the areas under this output. ECCA, LECB, ICI, and the Japan- Caribbean initiative are establishing mechanisms to revitalize national systems and institutions with the ultimate goal of increasing awareness and capacities to integrate climate change and low-emission strategies into development planning. SCCF-project will have to build on this experiences and know-how when rolling out the different activities under Output 1.1 in the targeted countries under the proposed project, including stakeholder consultations and identification of gaps and needs.

*Output 1.2. Institutional coordination and financial arrangements are strengthened/established to support NAP process*

Integration of climate change into planning requires coordination and cooperation across sectors. It should include participants from planning and line ministries in addition to Ministries of Environment. SCCF funds will be used to assist countries with the following:

- 1.2.1. Identify key national and sub-national institutions relevant to the NAP process
- 1.2.2. Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP
- 1.2.3. Deliver in-country training, based on country requests, on:
  - Applying the LEG guidelines on NAPs in local contexts
  - Conducting project and sectoral level cost-benefit analysis to identify economically-efficient and sustainable adaptation options, including web-based courses, as well as housing training materials in local universities and/or learning institutions (e.g. UNU)
  - Introduction to principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.)
  - Techniques of designing/developing bankable projects



For the delivery of in-country training, the technical expertise which has been already mobilized through LECB, ECCA, and ICI projects will be tapped into; coordination on the delivery of trainings will be of essence. Further, in terms of inter-ministerial dialogue and identification of NAP-leading institutions in a country, lessons and best practices from the Japan-Caribbean, ICI and LECB projects will also be beneficial and utilized.

*Output 1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation*

SCCF funds will also be used to assist countries in developing a NAP roadmap. This roadmap will detail steps and support needed by countries to advance the NAP process by outlining the necessary activities, budget and timeline to develop, implement, monitor, review/evaluate and report on the NAP process. The roadmap will also identify potential resources including use of public finance as a means of catalysing private finance.

1.3.1. Facilitate the conduct of stakeholder consultations to draft and finalize country-specific NAP roadmap

1.3.2. Support the formulation of the country-specific NAP roadmap, including requirements for reporting (in line with LEG technical guidelines in local contexts)

For this particular output, important linkages will have to be made with the ICI initiative, whereby UNDP is already supporting countries in drafting NAP roadmaps. Experience from the support that UNDP has already provided LDCs (through the NAP GSP for LDCs and stand-alone LDCF-funded projects) will also have to be taken into account, and technical expertise may have to be tapped into, as the support to countries under this GSP is being rolled-out.

## **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

Under Component 2, support will be provided to non-LDCs to access an improved package of toolkits to inform a comprehensive and iterative NAP process. These toolkits, some of which have been primarily developed for LDCs but may also be applicable to non-, will cover topics such as: i) development and application of climate scenarios; ii) vulnerability and risk assessments; iii) cost-benefit analyses of adaptation interventions; iv) Climate Public Expenditure and Institutional Reviews (CPEIRs); and v) financial costing of adaptation interventions. The project will seek the possibility of improving and adjusting the existing tools for the non-LDC context. The project will enhance access to training and knowledge on the application of toolkits for the NAP process by: i) reviewing and updating the current available toolkits; ii) promoting the use of the revised toolkits; ii); ii) developing a training package – including training material – for non-LDCs to apply the toolkits; and iii) promoting knowledge sharing on the application of the toolkits across sectors within non-LDCs. This will enhance the capacity of non-LDCs to undertake the NAP process through improving the availability and awareness of the toolkits as well as increasing national stakeholders' technical skills to apply the toolkit to inform medium- to long-term adaptation planning.

### **Outputs and Indicative Activities**

*Output 2.1: Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.*

At the start of the project, the current suite of available toolkits for medium- to long-term adaptation planning will be reviewed to identify: i) gaps in the themes relevant for non-LDCs; and ii) limitations in the availability and applicability of toolkits to non-LDCs. On the basis of this review, the existing toolkits will be updated to address limitations in their availability and applicability to non-LDCs. Where thematic gaps are identified, new toolkits will be developed. Additionally, toolkits will be translated into at least six languages<sup>22</sup> to promote their application across non-LDCs. Existing toolkits and supplements to be reviewed and promoted include *inter alia*:

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<sup>22</sup> Indicative languages include: English; Spanish; French; Russian; Arabic and Portuguese.

- PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;
- the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;
- UNFCCC LEG Sourcebook on the NAPs (currently under development)
- sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;
- relevant tools/guidance developed under the NAP GSP for LDCs (e.g. PROVIA user companion: Supporting NAP development with the PROVIA guidance);
- GIZ Smart National Adaptation Planning Tool (SNAP) and National Adaptation Plan country-level training; and
- tools/guidance on M&E/MRV, Loss & Damages, CPEIRs, climate finance readiness, etc.

The use of existing and new toolkits will be promoted<sup>23</sup> at inter-governmental processes for climate change – e.g. UNFCCC events – as well as through the knowledge and information systems established/further developed in Output 3.1. To promote the use of the toolkits for advancing the NAP process, a technical training package on application of the toolkits will be developed. This package will include training material on the updated/developed toolkits. Furthermore, the technical training package will be informed by: i) the lessons learned on training from the NAP GSP for LDCs; ii) the technical support provided in Component 1; and iii) feedback from thematic workshops in Output 2.2.

The activities to be implemented under Output 2.1 are:

- 2.1.1 Undertake a stocktake and gap/needs assessment of tools, methods, guidelines and their supplements to support non-LDCs to advance the NAPs process.
- 2.1.2 Develop new or adapt existing tools, methods, guidelines and supplements where necessary following the findings from the needs assessment for non-LDCs to follow NAP guidelines.
- 2.1.3 Promote the use of new and existing tools, methods and guidelines and their supplements through intergovernmental processes (e.g. side events at SBIs/SBSTAs) and the knowledge and information systems established through Output 3.1.
- 2.1.4 Develop a training package for non-LDCs – including training material – for supporting non-LDCs to advance their NAP process using new and existing tools, methods, guidelines and their supplements as well as lessons learned from NAP GSP for LDCs and implementation of one to one support from Component 1.

*Output 2.2: National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.*

To train national technicians to apply the toolkits from Output 2.1, the project will establish thematic/sub-regional working groups across non-LDCs. These working groups will facilitate exchange of experiences to share knowledge, lessons learned and best practices on the application of the toolkits from Output 2.1. Thematic working groups will focus on experiences across non-LDCs related to particular sectors. Indicative themes include: i) climate-related risks e.g. sea-level rise (SLR), floods, cyclones, drought; ii) the application of particular tools e.g. cost-benefit analyses, vulnerability and impact assessments; and iii) sector-specific themes e.g. water, agriculture, health. Sub-regional exchanges will also be organised to focus on the application of the toolkits within countries with similar adaptation priorities. For example, non-LDCs from West Asia with similar arid climates could exchange experiences on adaptation interventions in the water sector. As another example, SIDS could exchange experiences on adaptation interventions with relation to disaster risk management. These sub-regional exchanges will also provide a platform for coordinated adaptation planning within cross-border areas e.g. the Ganges-Brahmaputra-Meghna river basin or Mekong river basin.

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<sup>23</sup> The revision and promotion of these methods and tools complement Activities 10 and 11 of the Adaptation Committee workplan: “Establish an *ad hoc* group, in collaboration with relevant organizations and experts, to work on modalities and guidelines for NAPs for non-LDC developing countries for consideration by the Adaptation Committee at its second meeting” and “Further consider developing modalities and guidelines to support non-LDC developing countries in the planning, prioritization and implementation of national adaptation planning measures”, respectively. The guidelines and tools can also be promoted through Activity 12 of the Adaptation Workplan “Establish a database or clearing house type mechanism for information related to national adaptation planning”.

Thematic and sub-regional working groups will exchange experiences online through the communities of practice established/enhanced in Output 3.1. Knowledge generated and good practices that emerge from the application of toolkits will be relayed through the working groups to national- and local-level stakeholders in non-LDCs across relevant sectors. To further develop technical capacity, sub-regional or thematic workshops will be held to provide formal training along similar themes to those identified for the working groups. Where workshops provide training on the toolkits for medium- to long-term adaptation planning, the training package developed in Output 2.1 will be used. National stakeholders – in particular those from the relevant working groups – will attend these workshops. These national stakeholders will serve as champions for the NAP process and will work to garner support for the NAP process from other national and local-level stakeholders in their respective countries. The proceedings from the workshops will be disseminated to national and local-level stakeholders in non-LDCs. The workshops will also include a review process. This will encourage attendees to provide feedback on the practical application of the toolkits. These reviews will be used to inform the training package developed in Output 2.1. The review process will facilitate an iterative and adaptive approach to further refining the training package.

The activities to be implemented under Output 2.2 are:

- 2.2.1 Establish thematic/sub-regional ‘working groups’ across non-LDCs to attend exchange of experiences to promote South-South cooperation.
- 2.2.2 Organise at least 10 sub-regional<sup>24</sup> or thematic workshops on the application and use of tools, application of methods, and NAP guidelines<sup>25</sup> and relevant elements of the Adaptation Committee work programme using the training material developed in Output 2.1.4.
- 2.2.3 Review the feedback from thematic workshops’ participants to develop recommendations for future training and feed them back to the training package.

*Output 2.3: Web-based training materials prepared for use by countries as they commence their respective NAP processes.*

The project will develop appropriate, applicable and accessible training material on the NAP process for non-LDCs to access online. To support coordinated training, the training package – developed in Output 2.1 and applied in Output 2.2 – will be adapted to be suitable for dissemination through web-based media. This training material will be shared through the knowledge and information systems established in Output 3.1. Furthermore, to improve the applicability of the toolkits and training material, it will be updated through an iterative approach, based on attendees’ feedback from the sub-regional and thematic workshops in Output 2.2.

The activities to be implemented under Output 2.3 are:

- 2.3.1 Develop web-based training material from the training material developed in Output 2.1 to support the application of tools, methods and guidelines for the NAP process.
- 2.3.2 Update tools, methods and guidelines, and training material based on review of thematic workshops.

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

*Output 3.1: Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (overseen by UNEP).*

Lessons learned from the NAP GSP for LDCs have revealed that gaps in knowledge and technical capacity for the NAP process can be effectively addressed through exchanging lessons and knowledge on advancing the NAP process. In accordance with this recommendation, the project will promote such an exchange through improved South-South and North-South cooperation. To this end, the project will build upon the existing regional platforms for adaptation as well

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<sup>24</sup> At least two workshops in each of the following regions: Asia Pacific; East Europe and Central Asia; Latin America and Caribbean; Middle East and North Africa; and sub-Saharan Africa.

<sup>25</sup> These refer to all existing guidelines produced by organizations beyond LEG e.g. WHO and GIZ

as platforms created by the NAP GSP for LDCs. It is proposed that all resources for NAP processes be housed on one platform for both LDCs and non-LDCs. The project will therefore review the existing international NAP platforms with a view to enhancing access to a central platform to exchange lessons and knowledge on advancing the NAP process. Regionally, the project will review adaptation platforms and enhance or develop platforms for those regions currently without effective platforms. Indicative regional platforms to be reviewed include REGATTA, WARN CC, AAKNet, APAN, Clima South and Clima East. Knowledge and information systems will be developed on the central NAP platform as well as other regional adaptation platforms. These systems will include a quarterly newsletter, a LISTSERVE, and forums to promote discussions of adaptation themes. The knowledge and information published on these systems will include: i) case studies; ii) lessons learned; iii) practices on undertaking the NAP process; iv) training materials for the toolkits developed in Output 2.3; and v) summaries of discussions from communities of practice and working groups.

The project will establish or build upon existing communities of practice within sectors, sub-regions or adaptation themes to promote South-South and North-South cooperation. Communities of practice will interact regularly – both online and offline – to: i) share related experiences in undertaking the NAP process; ii) coordinate adaptation interventions; iii) map knowledge and identify gaps for future training and knowledge sharing; and iv) share resources such as locally developed toolkits. This will improve collective learning and knowledge sharing. Existing communities of practice on which the project will build include GEO-SIDs and UNEP SFP. Furthermore, the working groups established in Output 2.1 will operate through the communities of practice as more focused groups, particularly for the application of toolkits. Establishing and developing knowledge and information systems and communities of practice will enhance South-South and North-South cooperation and improve the dissemination of knowledge and lessons to and between non-LDCs.

The activities to be implemented under Output 3.1. are:

- 3.1.1. Establish knowledge and information systems (including quarterly newsletter and LISTSERVE, and promotion of thematic discussions) through existing platforms where possible (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima South, Clima East) or developing platforms to communicate on NAPs and link users to available tools and resources<sup>26</sup>.
- 3.1.2. Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experiences and review NAP-related products.

*Output 3.2: South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).*

Reflecting interests expressed by stakeholders, Output 3.2 facilitates knowledge sharing related to the NAP process among countries. SCCF resources will be used to collect country experiences and best practices related to the NAP process, and disseminate them using the already-established web-based platform used currently by the LDCF-funded *Assisting least developed countries with country-driven processes to advance national adaptation plans* project<sup>27</sup> but which can be expanded easily to cater to the specific needs of other developing countries. This will include experiences from LDCs gathered from the above-named project, as well as from non-LDCs collected through the activities of outcomes 1 and 2 demonstrating:

- the NAP as a means to build adaptive capacity and thus reduce vulnerability
- value of evidence-based evaluation approaches towards deciding on economically-sound investments
- use of public finance to catalyze private finance, including for implementation of the NAP

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<sup>26</sup> This will complement Activity 6 of the Adaptation Committee workplan “Compile a list of regional centers and networks working on adaptation, with a view to strengthening their role in supporting country-driven adaptation actions”

<sup>27</sup> <http://undp-alm.org/projects/naps-ldcs>

During PPG consultations, countries recognized an appetite to upscale adaptation interventions and contribute to technical and financial sustainability of national and sub-national policy interventions (including NAPs) by involving the private sector. Based on LECB experience in developing strategies for engaging private sector in mitigation investments, its building on the private sector analysis developed (for Thailand, Indonesia, Viet Nam, Mexico and Chile), as well as the experiences of the ICI and *Japan-Caribbean Climate Change Partnership* projects in developing public-private partnerships, this Output will be used to provide technical expertise to identify entry points for engagement of private sector in adaptation technologies/businesses. Some entry points could include: private-sector involvement in formulation of national or sectoral plans/scenarios, corporate programmes to achieve resilience, venture capital investments in adaptation technologies, studies on investment opportunities; etc.

Along with these entry points, the proposed project can provide technical guidance to: a) clearly articulate “business cases” to involve the private sector in adaptation investments as part of the overall NAP process; and b) make recommendations to formulate policy frameworks that attract active engagement of the private sector in the overall NAP process, including investment participation. In parallel, this exercise could help identify which factors have to be addressed during the NAP process to facilitate private sector involvement in implementation of NAP policies and/or projects. Further, this Output will feed these lessons and experiences into the virtual platforms created in Output 3.1 to foster regional, South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

The activities to be implemented under Output 3.2 are:

- 3.2.1. Collect and disseminate ‘case studies’, best practices and lessons learned of NAPs preparation, implementation, coordination, monitoring
- 3.2.2. Identify entry points, formulate business cases, and policy frameworks for private sector involvement in NAP/ adaptation processes. In countries such as Thailand, Indonesia, Viet Nam, Mexico and Chile, support will build on work that has been done through other programmes such as the LECB programme.
- 3.2.3. Feed lessons and experiences into the virtual platforms created in Output 3.1 to foster regional and South-South exchange and partnerships and private sector financial opportunities

**A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:**

The risks to the project have been reassessed and grouped as shown in the table below. These changes are based on stakeholder consultations and lessons learned from ongoing GSPs.

**Table 3. Risks and mitigation measures**

Key Risks	Level	Risk Mitigation Measures
<b>Low predictability of finance for advancing the NAP process in non-LDC will jeopardize the sustainability of some of the project's outputs</b>	H	Partnerships with bi-laterals, private sector, and other entities will be actively promoted and sought during the project implementation
<b>Coordination with development partners on NAP-related support activities</b>	L	Consultations with development partners indicate that programmes are underway which indirectly support the NAP process by addressing challenges expressed by countries. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs. A Technical Advisory Group (see Management Arrangements section) will be established comprising of development partners, the AC and the UNFCCC

Key Risks	Level	Risk Mitigation Measures
		Secretariat. This will be a means of ensuring that SCCF project activities are closely collaborated with and informed by activities, best practices and lessons learned of development partner initiatives. This will be supplemented by quarterly teleconferences with key partners.
<b>Effective coordination at national level</b>	M	Embarking on a comprehensive NAP process requiring cross-sectoral collaboration, was seen as daunting by many countries. The project will facilitate this process in a number of countries by providing support towards developing a NAP roadmap, which will: a) define roles based on country consultations; b) provide a timeline for the NAP process; c) indicate support; and d) include elements for monitoring the progress of implementation.

The RIOCC (Latin American and the Caribbean Spanish-speaking climate change offices network)

For additional information on risks please refer to Annex A in the UNDP Project Document and Annexure 21 in the UNEP Project Document.

#### **A.7. Outline the coordination with other relevant GEF-financed and other initiatives:**

The project has been designed in full alignment with the portfolio of GEF projects and other projects that are currently in implementation phase. The list of GEF-financed and other projects to which the SCCF-financed project is aligned has been updated (and more initiatives have been added) as follows:

- The LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* (UNDP and UNEP)
- The LDCF-funded *Building capacity for LDCs to participate effectively in intergovernmental climate change processes* project (UNDP and UNEP)
- The *Green Climate Fund (GCF) Readiness Programme* (UNDP and UNEP)
- The UNDP programme *Capacity Building Programme on the Economics of Climate Change Adaptation (ECCA)*
- The UNITAR project *Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation Project (C3D+)*
- UNEP's *Adaptation Mitigation Readiness Project (ADMIRE)*
- *UNEP LIVE*
- *UNEP Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA)*; and
- *UNEP's Climate Technology Centre and Network (CTCN)*

Additionally, the project is aligned with the relevant NAP-related initiatives, tools, methods, and guidelines from the following organisations:

- The Least Developed Countries Expert Group (LEG)
- The Adaptation Committee
- Deutsche Gesellschaft für International Zusammenarbeit (GIZ)
- The World Health Organisation (WHO)
- The Global Water Partnership (GWP)
- Food and Agriculture Organisation (FAO)
- The International Fund for Agricultural Development (IFAD)
- UNEP's African Ministerial Conference on the Environment (AMCEN)
- The Secretariat of the Pacific Community Applied Geo Science and Technology Division (SOPAC)
- The Caribbean Community Secretariat (CARICOM)
- Forum of Ministers of Latin America and the Caribbean
- The International Centre for Climate Change and Development (ICCCAD)

For additional information on the project’s alignment with GEF-financed and other initiatives refer to Section 2.3 of the UNDP Project Document and Section 2.7 of the UNEP Project Document.

**A.8. Are gender considerations taken into account? (yes  /no  ). If yes, briefly describe how gender considerations will be mainstreamed into project preparation, taken into account the differences, needs, roles and priorities of men and women.**

During PPG consultations, additional information on gender balance integration on NAP process has been applied to the design of the project’s activities, as follows:

The SCCF project mainstreams gender considerations through the approaches described below:

- Seek gender-balance and engagement of Ministry of Women (or similar ministry in charge of gender equality in the country) in stakeholder consultations during the project implementation phase will be gender balanced
- Encourage participation from relevant ministries to ensure that the needs and challenges of women, youth, and other marginalized population groups are represented in the NAPs national teams (e.g. inclusion of relevant ministries, women’s groups, etc.)
- Training sessions and workshops will be delivered with gender sensitivity to ensure that: a) both male and female participants are empowered to participate meaningfully in the trainings; and b) all participants are made aware of their responsibility to respect the views of all of their colleagues during training sessions. Trainers will be required to have the skills and experience necessary to plan and facilitate gender-sensitive training.
- Knowledge generated by the project will be gender-sensitive, ensuring inclusion and sensitivity towards differences among target audiences.
- The SCCF project will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.

The Technical Support Unit (TSU) will be responsible for monitoring and reviewing gender sensitivity in the project activities. In addition to gender, the project will also ensure that the needs of other vulnerable groups as the elderly, youth, children and less-abled will be prioritized.

**B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:**

**B.1 Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ). If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:**

The SCCF-financed project is a global support programme that will engage with the following national partners in non-LDCs: i) relevant planning ministries (e.g. Finance and Planning/Development); ii) key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women’s Affairs and Forestry); iii) academic institutions; iv) private sector stakeholders; and v) CSOs. See Table 4 for details. Other than through national CSOs, the project will not engage directly with civil society and local communities. However, the project will support medium-to long-term national planning that is informed by adaptation priorities at the national and local level. Planning and key line ministries will be capacitated to engage with local communities and increase their resilience to climate change through integrating climate change adaptation in national and local level development planning in a comprehensive and iterative manner.

**Table 4. Relevant partners and stakeholders identified for engagement by project outcome/output**

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
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<p><b>Outcome 1</b> Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</p>	<p><b>Output 1.1</b> Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified</p>	<p><b>UNDP</b></p>	<p>FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, national and international CSOs, bilateral/multilateral organizations, regional cooperation organizations, national planning ministries, line ministries</p>	<p>Revitalize national teams to lead the NAP process and identify key stakeholders.</p> <p>Stocktaking of on-going and completed initiatives of relevance to the NAP process.</p> <p>Conduct stakeholder consultations, including national CSOs, to identify expectations for advancing medium- to long-term planning for adaptation.</p> <p>Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities.</p> <p>Document the results of various stakeholder consultations.</p>
	<p><b>Output 1.2</b> Technical assistance provided to countries to strengthen/establish appropriate institutional, coordination and financial arrangements to support NAP process</p>	<p><b>UNDP</b></p>	<p>FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, ECCA Programme partners (ADB, GWP, USAID, Yale University, PIFS, SPREP, SPC, USP, GIZ, CEEPA), bilateral/multilateral organizations, national and international CSOs, national planning ministries, line ministries, local universities, international learning institutions</p>	<p>Identify key institutions relevant to the NAP process.</p> <p>Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP.</p> <p>Provide in-country training on identified needs.</p> <p>Strengthen leadership (especially in finance and planning) on medium- to long-term adaptation planning.</p>
	<p><b>Output 1.3</b> National support provided towards developing NAP roadmap and advancing the NAP process, including elements for monitoring the progress of their implementation.</p>	<p><b>UNDP</b></p>	<p>FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, bilateral/multilateral organizations, national planning ministries, line ministries,</p>	<p>Hold stakeholder consultations to draft and finalize country-specific NAP guidance documents.</p> <p>Formulate NAP roadmaps, including requirements for reporting (in line with LEG technical guidelines in local contexts).</p>



<p><b>Outcome 2</b> Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.</p>	<p><b>Output 2.1</b> Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.</p>	<p>UNEP</p>	<p>IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, international CSOs, national planning ministries, line ministries</p>	<p>Undertake a survey as part of the gap/needs assessment for tools, methods, guidelines and their supplements.</p> <p>Promote the use of existing tools, methods, guidelines and their supplements on the basis of the needs identified.</p> <p>Promote the tools, methods, guidelines and their supplements in side events during COP and/or SBs.</p>
	<p><b>Output 2.2</b> National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.</p>	<p>UNEP</p>	<p>IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries.</p>	<p>Organise thematic/sub-regional working groups and attend ‘exchange of experiences’.</p> <p>Organise thematic/sub-regional workshops on the use of tools, application of methods and NAP guidelines, and relevant elements of the Adaptation Committee work programme.</p>
	<p><b>Output 2.3</b> Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.</p>	<p>UNEP</p>	<p>IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries</p>	<p>Develop web-based training material for the NAP process.</p> <p>Update tools, methods, guidelines and their supplements based on workshop feedback.</p>
<p><b>Outcome 3.</b> Exchange of lessons and knowledge through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</p>	<p><b>Output 3.1</b> Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium- to long term development planning (Overseen by UNEP).</p>	<p>UNDP / UNEP</p>	<p>IFAD, FAO, WHO, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries, global and regional knowledge platforms.</p>	<p>Establish NAP knowledge and information systems.</p> <p>Establish/build upon and participate in existing communities of practice.</p> <p>Promote thematic discussions through existing networks by identifying topics for discussion and appointing facilitators.</p> <p>Synthesize information from discussions, and share this information through the established/enhanced knowledge and information systems.</p>

	<p><b>Output 3.2</b> South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).</p>	<p><b>UNDP / UNEP</b></p>	<p>bilateral/multilateral organizations, national counterparts, ALM, Chambers of Commerce and private sector.</p>	<p>Develop materials with good practices and case studies for dissemination.</p> <p>Conduct outreach activities with the private sector for involvement in the NAP process.</p> <p>Collect and disseminate knowledge and information from piloted activities.</p>
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**B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund or adaptation benefits (LDCF/SCCF):**

The multi-faceted and complex nature of climate change requires it to be integrated into medium- to long-term planning across all sectors and at all levels of government in a coordinated manner. Without improved planning and preparedness, countries’ capacity to manage the impacts of climate change will be overwhelmed – compromising years of progress towards the Millennium Development Goals (MDG)<sup>28</sup> and other socio-economic development priorities. Sustainable development necessitates appropriate planning for adaptation to the effects of climate change. Per the Intergovernmental Panel on Climate Change Fifth Assessment Report (IPCC AR5), adaptation choices in the near term will affect the risks of climate change throughout the 21st century.

Despite their capability to innovate and lead, women have historically been marginalised from local and national decision-making processes, particularly in developing countries<sup>29</sup>. Such exclusion creates a risk that women’s particular needs are not captured in planning. It is therefore important to identify gender-sensitive strategies to ensure that women are included in medium- and long-term adaptation planning to improve their resilience and capacity to adapt to climate change. This is particularly important as climate change affects men and women in different ways. Lower average income, access to education and access to employment compared to men<sup>30</sup> lead to a limited capacity of women to adapt to climate change. The UNFCCC recognises that women have a major role to play as agents of change at different levels of the adaptation process.

The SCCF-financed project will increase the technical and institutional capacity of non-LDCs to integrate medium- to long-term adaptation into development planning across sectors and at all levels of government. This integration will lead to increased climate resilience of local communities, ecosystems and economic infrastructure within non-LDCs. The SCCF-financed project will therefore result in benefits at the national, regional and global level. For example, appropriate medium- to long-term planning for climate change can: i) generate multiple social co-benefits in non-LDCs; ii) contribute to conservation and sustainable use of biodiversity, including species of global significance; iii) increase the resilience of local livelihoods and the national economy; and iv) contribute to climate change mitigation<sup>31,32</sup>. Enhancing medium- to long-term planning for climate change can achieve adaptation benefits for various sectors such

<sup>28</sup> United Nations. 2007. *The Millennium Development Goals Report*.

<sup>29</sup> Denton, F. (2002). Climate change vulnerability, impacts, and adaptation: Why does gender matter? *Gender & Development*, 10(2), 10–20. doi:10.1080/13552070215903.

<sup>30</sup> Lambrou, Y., & Piana, G. (2006). Gender: the missing component of the response to climate change. Food and Agriculture Organisation, Gender and Population Division.

<sup>31</sup> Secretariat of the Convention on Biological Diversity. 2009. Connecting Biodiversity and Climate Change Mitigation and Adaptation: Report of the Second Ad Hoc Technical Expert Group on Biodiversity and Climate Change. Montreal, Technical Series No. 41, 126 pages.

<sup>32</sup> Non-LDCs in Eastern Europe are developing integrated adaptation and mitigation programmes.

as health, agriculture and water. This will contribute to sustainable development in non-LDCs and will support poverty reduction and the ability of non-LDCs to achieve the United Nations' MDGs.

### B.3. Explain how cost-effectiveness is reflected in the project design:

Implementation of the SCCF project will build on the structure (including knowledge platforms), progress and lessons learned from the ongoing LDCF-funded *Assisting LDCs with country-driven processes to advance National Adaptation Plans* and the *Building capacity for LDCs to implement effectively in intergovernmental climate change processes* projects.

For the technical training of Output 1.2, the economic analysis-related in-country training, web-based courses, and university/learning institution courses expected from this SCCF, will benefit from the materials already-generated by the ECCA and LECB programmes, as well as UNDP's already established network of technical experts – resulting in cost-savings for these activities.

The training workshops of Outcome 2 adopt a cost-effective approach by a) hosting sub-regional workshops for countries with similar adaptation priorities; b) targeting key line ministries to attend the workshops and act as champions for the NAP process; and c) publishing workshop training material online to promote further learning for participants and other stakeholders. Given that the support under Component 3 will largely take place through online media, these interventions have a relatively fixed cost regardless of the number of countries targeted and also provide a means of cost-effective training and capacity building on non-LDCs.

Lessons learned, experiences to date and good practices related to climate change adaptation planning will be captured and synthesized. These lessons will then be disseminated through knowledge and information systems established on existing networks, and through online training materials. This is a cost-effective way of informing a broad range of stakeholders, including government staff, policy-makers, line ministries and all role players responsible for advancing climate change adaptation in development planning, processes and strategies within all relevant sectors and at all relevant levels.

### C. DESCRIBE THE BUDGETED M & E PLAN:

The M&E budget is presented in the table below.

Type of M&E Activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Timeframe
Inception Workshop and Report	<ul style="list-style-type: none"> <li>Lead Technical Specialist</li> <li>Project team</li> </ul>	8,000	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> <li>Lead Technical Specialist will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members.</li> </ul>	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>Oversight by Lead Technical Specialist</li> <li>Project team</li> </ul>	To be determined as part of Annual Work Plan prep.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team</li> <li>UNDP and UNEP</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team</li> </ul>	None	Quarterly

Mid-term evaluation	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team,</li> <li>• UNDP and UNEP</li> <li>• External Consultants (mixed local/int. team)</li> </ul>	30,000 <sup>33</sup>	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team,</li> <li>• UNDP and UNEP</li> <li>• External Consultants (mixed local/int. team)</li> </ul>	22,000 <sup>34</sup>	At least three months before the end of project implementation
<b>TOTAL Indicative Cost</b>		60,000	



<sup>33</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

<sup>34</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

**PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)**

**A. GEF Agency(ies) certification**

This request has been prepared in accordance with GEF policies<sup>35</sup> and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

<b>Agency Coordinator, Agency Name</b>	<b>Signature</b>	<b>Date (Month, day, year)</b>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Brennan van Dyke Director GEF Coordination Office		March 03, 2015	Ermira Fida Manager, UNEP-GEF Adaptation Portfolio	+254-20-762-3113	<a href="mailto:Ermira.fida@unep.org">Ermira.fida@unep.org</a>
Adriana Dinu Officer-in-charge and Deputy Executive Coordinator, UNDP/GEF		March 03, 2015	Pradeep Kurukulasuriya, Global Senior Technical Advisor- Adaptation UNDP-GEF	+66 (2) 304 9100 Ext. 2595	<a href="mailto:Pradeep.kurukulasuriya@undp.org">Pradeep.kurukulasuriya@undp.org</a>

**B. Additional GEF Project Agency Certification** (*Applicable Only to newly accredited GEF Project Agencies*)

For newly accredited GEF Project Agencies, please download and fill up the required **GEF Project Agency Certification of Ceiling Information Template** to be attached as an annex to the PIF.

<sup>35</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

**ANNEX A: PROJECT RESULTS FRAMEWORK** (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.			Number of countries with institutional arrangements for the NAP	<p>The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among non-LDCs are varied.</p> <p>Most non-LDCs have developed short-term adaptation plans. Many non-LDCs are in the process of developing medium- to long-term adaptation plans. Gaps in technical capacity and access to knowledge and information hinder the undertaking of NAP processes.</p> <p>There are</p>	N/A	At least 20 countries have been supported to develop institutional arrangements for the NAP	UNDP Capacity Assessment Scorecard	Effective coordination at national level

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
				weak institutional planning processes as a result adaptation in most non-LDCs is not integrated into national development planning and sectoral planning processes.				
<b>Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP).</b>	<b>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	<b>Outcome level indicator<sup>36</sup></b>	Number of non-LDCs receiving tailored support to advance their NAP <sup>37</sup>	Non-LDCs are at various stages in the NAP Process and require different support to further advance. Outcome 1 is structured in a way that technical support can be tailored and delivered separately or combined.	At least 8 countries have received to support towards advance their NAP process	20 countries receive tailored support to advance their NAP process	In-country workshops, training materials and training materials disseminated	Coordination with development partners on NAP-related support activities
		Output 1.1 Information and processes that are of relevance to the NAP process in the country	N/A	N/A	N/A	N/A		

<sup>36</sup> UNDP monitors projects at the outcome, not output, level.

<sup>37</sup> This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.						
		Output 1.2 Institutional coordination and financial arrangements are strengthened/established to support NAP process	N/A	N/A	N/A	N/A		
		Output 1.3 NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation	N/A	N/A	N/A	N/A		
<b>Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).</b>	<b>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.</b>	<b>Outcome level indicator</b>	Number of non-LDCs with increased technical capacity to support key steps in NAP process.	Capacity of relevant government technicians in non-LDC to apply tools, methods and guidelines to undertake key steps in the NAP process is low.	At mid-term, government technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.	By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.	Surveys (tests <sup>38</sup> , questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.	Coordination with development partners on NAP-related support activities

<sup>38</sup> The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.  
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Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.1 Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	Number of training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process.	Existing tools, methods and guidelines are not broadly applied by non-LDCs because: i) they are developed for LDCs and are not fully applicable to non-LDCs; or ii) the proliferation of the tools, methods and guidelines are confusing for non-LDCs.	N/A	By the end of the project, one training package - containing tools, methods or guidelines - developed for non-LDCs to advance their NAP process.	Review of the training documents produced and distributed to the relevant government staff.	
		Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	Number of national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender) <sup>39</sup>	No national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process by the project	At mid-term, at least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	Workshop reports, participant lists, surveys of participants before and after the workshops.	

<sup>39</sup> This indicator is aligned with AMAT indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures.  
GEF6 CEO Endorsement Template-July 2014.doc

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online.	Limited training material available online on the application of tools, methods and guidelines for NAP processes in non-LDCs, available in languages other than English and French.	At mid-term, at least 2 training materials developed and published online in at least 3 official languages of the non-LDCs.	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs.	Number of translated versions of training materials. Review of the training documents accessible online in at least 6 languages. Statistics of training materials accessed.	
<b>Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).</b>	<b>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</b>	<b>Outcome level indicator</b>	Effective uptake of lessons and best practices shared across North-South and South-South countries	South-South and North-South cooperation is limited, resulting in low levels of sharing of lessons learned and knowledge between non-LDCs.	At mid-term, at least 40% of participants in the knowledge-sharing platforms report interest and/or uptake of lessons and best practices from North and South countries	By the end of the project at least 70% participants in the knowledge-sharing systems report interest and/or uptake of lessons and best practices from North and South countries	Surveys conducted at the outset of the project and at regular intervals – including at mid-term and end of the project – with the participants of the knowledge-sharing platforms.	Coordination with development partners on NAP-related support activities  Low predictability of finance for advancing the NAP process beyond the project duration
		Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into	Number of knowledge and information systems established on NAP for non-LDCs through existing or developed	Current regional platforms on adaptation exist (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima	At mid-term, at least 1 knowledge and information system (e.g. LISTSERVE, quarterly newspaper, forums to promote thematic	By the end of the project, at least 3 knowledge and information systems (e.g. LISTSERVE, quarterly newspaper,	Review of the knowledge and information systems available online. LISTSERV-	

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		medium-to long term development planning (Overseen by UNEP).	platforms.	South, Clima East) but there is limited knowledge and information systems on NAP processes available on these platforms.	discussions) established through at least 1 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East).	forums to promote thematic discussions) established through at least 6 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East).	distribution lists.	
		Output 3.2 South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).	N/A	N/A	N/A	N/A	N/A	

**ANNEX B: RESPONSES TO PROJECT REVIEWS** (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

<b>GEF Secretariat Review Question</b>	<b>GEF Secretariat Recommended Action by CEO Endorsement</b>	<b>Response</b>
<p>6. Is (are) the baseline project(s), including problem(s) that the baseline project(s) seek/s to address, sufficiently described and based on sound data and assumptions?</p>	<p>NOT CLEAR. The PIF provides a general description of the baseline scenario as it relates to each of the three components of the proposed project, along with a list of relevant baseline projects on which the SCCF grant would build.</p> <p>While the PIF conveys in general terms the constraints that developing countries face in integrating climate change adaptation into medium- and long-term development planning and budgeting processes (paras 4, 6 and 7), it appears that several of the baseline projects are already addressing these very constraints, as are several projects and programs previously financed through the SCCF, the Adaptation Fund and others. For example, in countries that benefit from UNDP's LECB Programme " which provides nearly 90 per cent of the indicative co-financing towards the proposed SCCF project " what could be the additional needs and gaps that the NAP GSP would address?</p> <p>Given that the proposed project could be expected to benefit up to some 100 countries that are Parties to the UNFCCC and that are not LDCs, Section A.1.2 of the PIF could consider explicitly the fact that countries find themselves in very different situations as it relates to integrating adaptation into medium- and long-term development planning; and that a diversity of needs would therefore have to be met in a flexible manner.</p> <p>With regard to the initial co-financing figures, it is noted that the LECB Programme also includes LDCs and it is therefore not clear whether the full program budget could be considered as co-financing</p>	<p>Extensive stakeholder consultations have been conducted to gather information on the varying baseline situations of non-LDCs. These stakeholder consultations are detailed in Section 2.2 and Annex C of the UNDP Project Document, Section 2.5 and Annex 20 of the UNEP Project Document.</p> <p>The varying circumstances and needs of different non-LDCs are recognised in other sections of the PDs. The disparities in capacity needs and development plans of the different LDCs are referenced in Section 2.4 of the UNDP Project Document, Section 2.6 of UNEP Project Document and Section A4 above.</p> <p>The varying baseline situations have been considered in the project design in the several ways. Firstly, a stocktaking exercise has been included to identify existing national plans and NAP entry points (Activity 1.1.2). Details on how the project will consider and build on existing national plans for climate change adaptation – such as JNAPs and NAPAs – are given in Section 2.4 of the UNDP project document, Section 3.3 of the UNEP project document and Section A5 above. Secondly, an assessment to identify capacity gaps within participating non-LDCs (Activity 1.1.4) has been included. Thirdly, a combination technical support interventions has been developed for non-LDCs to participate in those best suited to their national context through i) in-country training; or ii) sub-regional or thematic workshops (Activities 1.2.3 and 2.2.2 respectively). Fourthly, given the differing needs of non-LDCs, the project will support the development of tailored NAP roadmaps for individual non-LDCs (Activity 1.3.2). Fifthly, communities of practice and working groups will be established (Activities 3.1.1 and 2.2.1 respectively) which will provide technical support to assist non-LDCs to address their individual capacity requirements. Finally, given the differing language requirements training materials and existing toolkits will be translated into six language to accommodate</p>

	<p>towards a project that targets non-LDCs. It is further noted that PROVIA and GAN were included among the confirmed sources of co-financing towards the NAP GSP for LDCs, and it would be important to confirm that the same sources and amounts are not double-counted. Finally, in the description of the baseline scenario, the PIF could note that the NAP GSP for LDCs has developed and will develop training materials and knowledge sharing systems, some of which could be applied as such for a similar program targeting non-LDCs. The PIF could clarify what in addition is needed in this regard under components 2 and 3.</p> <p><b>RECOMMENDED ACTION:</b> Please (i) consider explicitly, in Section A.1.2 of the PIF, the extent to which some countries have already made progress in medium- and long-term climate-resilient development planning, including thanks to some of the baseline projects and other relevant initiatives identified, and specify what additional gaps and needs the proposed project could address in such countries; (ii) review the indicative cofinancing figures associated with the LECB Programme, PROVIA and GAN to ensure that all of the indicated cofinancing is relevant and has not already been counted towards the NAP GSP for LDCs; and (iii) kindly consider the work that has already been carried out and will be carried out through the NAP GSP for LDCs as it relates to components 2 and 3, and identify more specifically the additional needs that the present project should address. 01/24/2014 “ YES. The revised PIF addresses adequately the recommendations made. The PIF provides a more nuanced description of the baseline situation, noting the diverse</p>	<p>the official languages of the majority of non-LDCs. These languages are English, Spanish, French, Russian, Arabic and Portuguese.</p> <p>Detailed baseline values and appropriate SMART indicators have been included for all project objectives and outcomes. Please see Annex 5 in the UNEP project document, Section 3 in the UNDP project document and Annex 1 above.</p>
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	<p>situations and needs of potential beneficiary countries. The indicative cofinancing sources and figures have been reviewed as recommended, and the resubmission outlines the additional gaps and needs that the proposed project could address as it relates to components 2 and 3, given the progress made by the NAP GSP for LDCs.</p> <p>As noted in the PIF, the different baseline situation and country needs will be carefully considered during project preparation and should be captured</p>	
<p>8. (a) Are global environmental/adaptation benefits identified? (b) Is the description of the incremental/additional reasoning sound and appropriate?</p>	<p>NOT CLEAR. Please refer to sections 3 and 6 above. Given the need to further clarify the baseline scenario, the additional reasoning cannot be fully assessed at this stage. With regard to Component 1, considering the lessons emerging from the NAP GSP for LDCs and the very large number of potential beneficiaries to the proposed project, it would be important to indicate early on the ways in which eligible countries could access support towards stocktaking, coordination arrangements and roadmaps as per outputs 1.1, 1.2 and 1.3.</p> <p>As for components 2 and 3, as noted under Section 6, it would be very important to identify the extent to which the proposed project could in fact apply the resources and platforms developed for the NAP GSP for LDCs; and specify the additional investments required to meet the needs of a larger number of countries.</p> <p>RECOMMENDED ACTION: Upon further guidance on the funding availability and upon addressing the recommendations under Section 6, please  (i) strengthen the additional reasoning and clarify the adaptation benefits accordingly. Moreover,</p>	<p>The SCCF-project will engage with the following partner organisations: IFAD, FAO, WHO, UNITAR, GIZ, GWP, CEEPA, national and international CSOs, UNDP ALM, global and regional knowledge platforms, regional cooperation organisations, local universities, UNU, multilateral/bilateral organization, national planning ministries and national line ministries in non-LDCs, chambers of commerce and the private sector in non-LDCs. Details on how each partner will be engaged within each Component are given in Section 2.10 of the UNDP Project Document, Section 5 of the UNEP Project Document and Section B1 above.</p>

	<p>please (ii) provide an indication of the ways in which eligible countries could access support towards stocktaking, coordination arrangements and roadmaps as per outputs 1.1, 1.2 and 1.3; and (iii) specify the additional investments that would be carried out under components 2 and 3 given the progress made under the NAP GSP for LDCs.</p> <p>01/24/2014 “ YES. The additional reasoning has been clarified as requested. The Agencies' response explains adequately how countries could access support towards Component 1, and the revised PIF provides further details regarding the interface between the proposed project and the on-going NAP GSP for LDCs.</p> <p>By CEO Endorsement, please provide further information regarding the partnerships that the proposed project will pursue, and the potential contributions that partners could make, particularly towards Component 1.</p>	
<p>12. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?</p>	<p>YES. The PIF identifies relevant initiatives with which coordination and coherence will be sought. Complementarities and coordination arrangements should be specified by CEO Endorsement.</p>	<p>Details on the projects alignment with related initiatives – including the NAP GSP for LDCs – are included in Section 2.3 of the UNDP project document, Section 2.7 of the UNEP project document and Section A.7 above.</p> <p>Additionally, the details on the consultations with development partners are included in Section 2.2 of the UNDP project document, Section 2.5 of the UNEP project document.</p> <p>Please see the response to Section 8 for details on the coordination arrangements with formal project partners.</p>

<b>Germany comments</b>	
<b>Comment</b>	<b>Response</b>
<p>Component 1 of the proposed project describes the technical support that should be provided (stock-taking, identification of gaps, institutional and coordination arrangements, NAP roadmaps). Germany suggests that the PIF outlines in greater detail through which mechanism (e.g. consultant missions, missions by the project, missions by partners) exactly the technical support will be provided and how the project ensures that the countries contribute to the analyses and own the process, as they should be able to conduct such analysis themselves in the future, e.g. for monitoring the advancement of the NAP process.</p>	<p>The country support of component 1 is presented as 3 outputs:</p> <ul style="list-style-type: none"> <li>• Output 1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified</li> <li>• Output 1.2. Institutional coordination and financial arrangements are strengthened/established to support NAP process</li> <li>• Output 1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation</li> </ul> <p>Output 1.1 is focused on stocktaking and identification of institutional challenges and/or technical capacity gaps. Output 1.2 seeks to address challenges and gaps through in-country dialogue, support and training. Output 1.3 builds on the stocktaking and training, reconciling those with the pending matters from the stocktaking in order to further advance the NAP process in the country.</p> <p>To deliver in-country support, the SCCF project to follow the successful approach employed by the LDCF-funded “Assisting least developed countries with country-driven processes to advance National Adaptation Plans” project. This has included a team of international and local expertise to provide in-country support. Expertise of the team members will vary reflecting the demand and needs of the country. UNDP’s existing roster of experts will be used to identify international expertise in the areas of climate change scenarios, public financial management, economics of adaptation, monitoring and evaluation, etc. Consultations with country representatives, with support from the UNDP Country</p>



Offices as necessary, will help identify local expertise.

In-country support provided by LDCF the project has also included participation by development partners (e.g. GIZ, GWP, etc.) active in the country on NAP-related activities. This approach to training has benefited countries by ensuring that support by the development partners is collaborative and complementary – maximizing the impacts of combined resources.

Following the best practices, of the “Assisting least developed countries with country-driven processes to advance national adaptation plans” project, the SCCF project will engage a wide range of partners to ensure quality technical training to countries based on areas of expertise and comparative advantage.

A niche focus for the technical training to be provided by UNDP (Output 1.2) reflects the agency’s expertise and responds directly to the key concern raised by countries during PPG consultations – access to finance. Specific topics include:

- Conducting project and sectoral level cost-benefit analysis to identify economically-efficient and sustainable adaptation options, including web-based courses, as well as housing training materials in local universities and/or learning institutions (e.g. UNU)
- Introduction to principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.)
- Techniques of designing/developing bankable projects

Where support needed by selected countries exceeds the scope and/or timeframe of the project, SCCF funds will be used to assist countries in developing a NAP roadmap (Outcome 1.3). This roadmap will detail steps and support needed by countries to

	<p>advance the NAP process by outlining the necessary activities, budget and timeline to develop, implement, monitor, review/evaluate and report on the NAP process.</p> <p>The above approach to Outcome 1 - which is demand-driven, in-country/individualized, collaborative with partners, and capitalizes on the expertise of the organization – will ensure quality support to countries, tailored to their needs.</p> <p>The outputs and activities, detailed above, follow a sequence. While it is possible that a single country benefits from all three outputs, the outcome is designed in a way so that outputs can be delivered to countries separately. Support available to countries can therefore be tailored to specific country demand and needs, and to the particular country’s stage in the NAP process. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee’s NAP Task Force to match NAP support to country needs.</p>
<p>In component 2, “NAP teams” are mentioned. Germany recommends describing in more detail to whom this denomination exactly refers, i.e. whether NAP teams are nominated by the project or by the country, and how these teams will be supported beyond the participation in trainings.</p>	<p>This terminology is no longer used. Working groups and technical training will be directed at national technicians from non-LDCs. It is envisaged that the same technicians that form part the working groups will also attend the training workshops under Component 2. These technicians will be further supported through the publication of online training material and sharing of experiences and lessons learned in communities of practice developed in Outcome 3. Provision is made for approximately three technicians from each non-LDC to attend each workshop. This is to promote a cross-sectoral delegation. Although not prescribed it is envisioned that the delegation will include national technicians from the ministries of environment, planning and other key line ministries. However, as the workshops may be thematic, the most relevant national technicians will attend.</p>

<p>Component 2 also mentions making use of existing tools, methods and guidance thus far developed for non-LDCs in partnership with other agencies and organizations. Germany strongly welcomes the use of already existing methods, which will save time and resources. Several guidelines and tools exist that could be used for such analyses after being adjusted to the country context, such as the “Stocktaking for National Adaptation Planning (SNAP)” or “Aligning National Adaptation Plan (NAP) processes with development and budget planning” developed by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ). Germany further recommends outlining in more detail the mechanism by which the contributions from other agencies and organizations will be sought.</p>	<p>Preliminary technical tools, methods, guidelines and supplementary material have already been identified through stakeholder consultation in during the PPG phase. These include:</p> <ul style="list-style-type: none"> <li>• PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;</li> <li>• the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;</li> <li>• sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;</li> <li>• relevant tools/guidance from the NAP GSP for LDCs;</li> <li>• GIZ Smart National Adaptation Planning Tool (SNAP) and Aligning National Adaptation Plan (NAP) processes with development and budget planning; and</li> <li>• tools/guidance on M&amp;E/MRV, Loss &amp; Damages, CPEIRs, climate finance readiness, etc.</li> </ul> <p>Further available tools, methods, guidelines and supplementary material will be sought through the review process. This will include engaging with agencies and organizations and undertaking a desktop review.</p>
<p>Germany strongly welcomes the envisaged cooperation with the Adaptation Committee and recommends that the project specifically cooperates on support issues related to NAPs (finance, technology and capacity building). This cooperation should not only seek input from the Adaptation Committee (AC) but also provide input to the AC, as well as use it as a vehicle for better outreach and dissemination.</p>	<p>The Adaptation Committee was consulted during the PPG phases at the 6<sup>th</sup> Meeting of the Adaptation Committee, Bonn, in September 2014. Following these consultation, the project has been designed to align with the Adaptation Committee both through building on and contributing to the activities of the Adaptation Committee workplan. The following project activities provide inputs to the AC workplan:</p> <ul style="list-style-type: none"> <li>• Activity 2.1.2 and 2.1.3: the revision and promotion of the tools, methods and guidelines complement and contribute to Activities 10 and 11 of the Adaptation Committee workplan: “Establish an ad hoc group, in collaboration with relevant organizations and experts, to work on modalities and guidelines for NAPs for non-LDC developing countries for consideration by the Adaptation Committee at its second meeting” and “Further consider developing modalities</li> </ul>

	<p>and guidelines to support non-LDC developing countries in the planning, prioritization and implementation of national adaptation planning measures”, respectively. The guidelines and tools can also be promoted through Activity 12 of the Adaptation Workplan “Establish a database or clearing house type mechanism for information related to national adaptation planning”.</p> <ul style="list-style-type: none"> <li>• Activity 3.1.1: this will complement and contribute to Activity 6 of the Adaptation Committee workplan “Compile a list of regional centers and networks working on adaptation, with a view to strengthening their role in supporting country-driven adaptation actions”</li> </ul> <p>Finally, one representative from the Adaptation Committee will serve on the Technical Advisory Group to maximise communication, synergy and sharing of lessons learned and best practices between the Adaptation Committee and the project.</p>
<p>Section A.2. on stakeholders provides insights into the work with other agencies and organizations. It does not mention working with bilateral agencies. Often, bilateral agencies have programmes directly working with relevant ministries. Germany therefore recommends that the project takes into account these work relations and ensures that the results from the different working packages are implemented in the long-run.</p>	<p>Since the NAP process is iterative and participatory in nature, it is expected that during project implementation, and especially one-on-one support components, bilateral programmes in each country are taken stock and considered, where relevant in the NAP process. Working opportunities with these bilateral programmes and respective agencies will be identified and build on, just like other country-led programmes, during the project’s interventions. Bilateral agencies have been identified as stakeholders in the Stakeholder Involvement Plans in both project documents. Further, some bilateral projects implemented by UNEP and UNDP in different countries have been taken into account as baseline initiatives or initiatives to be coordinated with (i.e., ECCA, LECB, Green Climate Fund Readiness Programme, etc.).</p>

**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>40</sup>**

A. Provide detailed funding amount of the PPG activities financing status in the table below:

UNDP:

PPG Grant Approved at PIF: <b>\$75,000</b>			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Component A: Technical Review	42,000.00	37,284.02	4,715.98
Component B: Institutional arrangements	14,000.00	13,803.04	196.96
Component C: Strategic Results Framework and associated Monitoring and Evaluation Framework	19,000.00	19,000.00	-
Component D: Financial Planning and Co-financing	-	-	-
<b>Total</b>	<b>75,000.00</b>	<b>70,087.06</b>	<b>4,912.94</b>

UNEP:

PPG Grant Approved at PIF: <b>\$75,000</b>			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
International Consultant	25,000	25,000	0
Meetings and workshops	47,800	0	47,800
Travel	2,200	2,200	0
<b>Total</b>	<b>75,000</b>	<b>27,200</b>	<b>47,800</b>

<sup>40</sup> If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

**ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)**

Provide a calendar of expected reflows to the GEF/LDCF/SCCF Trust Funds or to your Agency (and/or revolving fund that will be set up)

## PROJECT DOCUMENT

<b>1.1 Project title</b>	Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)	
<b>1.2 Project number</b>	01247	
<b>1.3 Project type</b>	FSP	
<b>1.4 Trust Fund</b>	SCCF	
<b>1.5 Strategic Objective</b>	Climate change adaptation	
<b>1.6 UNEP priority</b>	Climate change adaptation;	
<b>1.7 Geographical scope</b>	Global:	
<b>1.8 Mode of execution</b>	Internal execution	
<b>1.9 Project executing organisation</b>	UNEP ROAP	
<b>1.10 Duration of project</b>	36 months Commencing: 01/01/2015 Technical Completion: 31/12/2017	
<b>1.11 Cost of project</b>	<b>US\$</b>	<b>%</b>
Cost to the SCCF <sup>1</sup>	4,500,000	10
Co-financing		
<b>Grant</b>		
UNITAR	3,000,000	6
UNEP	800,000	2
UNDP	38,000,000	82
<i>Sub-total</i>	41,800,000	90
<b>Total</b>	<b>46,300,000</b>	<b>100</b>

<sup>1</sup> This is a joint UNEP UNDP project with a total budget of US\$4,500,000; each agency is responsible for the administration of US\$2,250,000 of SCCF funding.

### 1.12 Project summary

Climate change and associated climate variability pose a challenge to achievement of poverty reduction and sustainable development goals in non-LDC developing countries<sup>2</sup>. National and sectoral planning processes provide a central means by which development priorities are formulated, budgeted and implemented. However, such planning processes generally have not included considerations of climate change risks and opportunities in a systematic manner. Consequently, there is an increased need to consider medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for countries to mainstream climate change into development planning. This process will assist developing countries to identify, finance and implement appropriate measures to address medium- to long-term adaptation needs within relevant sectors. However, a number of barriers constrain developing countries from initiating and sustaining their NAP processes as detailed below.

- Planning ministries in developing countries seldom have access to well-organised and robust scientific data or evidence-based technical guidelines on managing climate change risks.
- The mandate for addressing climate change often lies within ministries of environment/natural resources rather than ministries of development planning. In addition, planning officials are generally not sensitised on the complex nature of climate change and its associated effects. Consequently, planning ministries are usually not capacitated to include climate change risks within development planning processes.
- There is often a disconnect between political cycles, planning cycles and the long-term nature of climate change concerns. As a result, climate-resilient development is not considered as a national priority and budgetary support to advance adaptation planning and implementation is consequently not prioritised.
- At present, there are few collaborative partnerships pertaining to addressing adaptation needs that exist between developing country governments and global/regional institutions, networks and platforms.

To address these barriers, SCCF resources will be used to establish a Global Support Programme (GSP) to promote medium- to long-term planning for climate change adaptation in non-LDC developing countries. Building on a number of relevant national and subnational level initiatives, the GSP will promote NAP processes that are country-driven, continuous, participatory, progressive and iterative. In addition, these processes will be multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and commonly agreed good practices. As such, the GSP will address a gap in the international community's efforts towards climate change adaptation.

Through the GSP, SCCF resources will be used to establish a support mechanism focused on three main pillars, namely: i) institutional support; ii) technical capacity-building; and iii) knowledge brokerage. This support will be provided to all non-LDC developing countries upon request and will be flexible enough to be tailored to each country's needs and national circumstances. The SCCF-financed GSP will therefore assist non-LDC developing countries

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<sup>2</sup> In the context of this project, the term 'non-LDCs' is used to refer to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. These countries are not a specific grouping under the UNFCCC parties, rather they are eligible for SCCF resources hence eligible to receive support from this project.



to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The project will be implemented by UNEP and UNDP and built on existing partnerships built and implementation arrangements put in place under the existing LDCF-funded project 'Assisting Least developed Countries with country-driven processes to advance National Adaptation Plans'.

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**ACRONYMS AND ABBREVIATIONS**

AAKNet	Africa Adaptation Knowledge Network
ADB	Asian Development Bank
AC	Adaptation Committee
ADMIRE	Adaptation Mitigation Readiness Project
AF	Adaptation Fund
ALM	Adaptation Learning Mechanism
AMCEN	African Ministerial Conference on the Environment
APAN	Asia Pacific Adaptation Network
APR	Annual Project Review
APRC	Asia Pacific Regional Centre
AR5	Fifth Assessment Report
ASAP	Adaptation for Smallholder Agriculture Programme
BMUB	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
CAF	Banco de Desarrollo de América Latina
CAF	Cancun Adaptation Framework
CaPP	The Climate Protection Programme for Developing Countries
CARICOM	Caribbean Community Secretariat
CBD	Convention on Biological Diversity
CC:Learn	One UN Training Platform on Climate Change
CCA	Common Country Assessment
CCAU	Climate Change Adaptation Unit
CEEPA	Centre for Environmental Economics and Policy in Africa
CGE	Consultative Group of Experts on National Communications
COP	Conference of the Parties
CPEIR	Climate Public Expenditure and Institutional Review
CTCN	Climate Technology Centre and Network
DEPI	Division for Programme Implementation
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
EbA	Ecosystem-based Adaptation
ECCA	Capacity Building Programme on the Economics of Climate Change Adaptation EOU Evaluation Office of UNEP
EU	European Union
FAO	Food and Agriculture Organisation
GAN	Global Adaptation Network
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für International Zusammenarbeit
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
HNAP	health component of the National Adaptation Plan
IPCC	Intergovernmental Panel on Climate Change
ICCCAD	International Centre for Climate Change and Development
IFAD	International Fund for Agricultural Development
JICA	Japanese International Cooperation Agency
JNAP	Joint National Action Plan
LDC	Least Developed Country
LDCF	Least Developed Country Fund

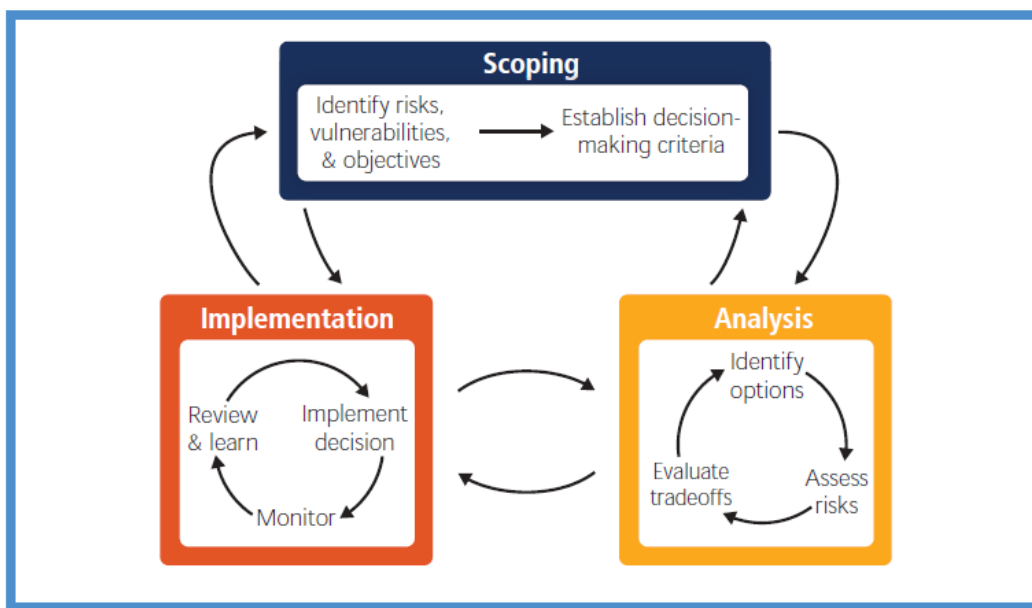
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MRV	Monitoring, Reporting and Verification
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategic Action Plan
NC	National Communication
NCSAs	National Capacity Self-Assessments
NGO	Non-governmental Organisation
NWP	Nairobi Work Programme
PB	Project Board
PIC	Pacific Island Country
PIFS	Pacific Islands Forum Secretariat
PIR	Project Implementation Report
PoW	Programme of Work
PPG	Project Preparation Grant
PROVIA	Programme of Research on Climate Change Vulnerability, Impacts and Adaptation
QPR	Quarterly Progress Reports
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SID	Small Island Developing State
SLR	sea-level rise
SNAP	Stocktaking for National Adaptation Planning
SOPAC	Secretariat of the Pacific Community Applied Geo Science and Technology Division
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
TE	Terminal Evaluation
TEC	Technical Executive Committee
TNA	Technology Needs Assessment
ToR	Terms of Reference
TSU	Technical Support Unit
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
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
UNOPS	United Nations Office for Project Services
UNU	United Nations University
USAID	United States Agency for International Development
USP	University of the South Pacific
VIA	vulnerability, impacts and adaptation
WARN CC	West Asia Regional Network on Climate Change
WHO	World Health Organisation

## SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

### 2.1. Background and context

Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. Increasing temperatures, changing precipitation patterns, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health<sup>3</sup>. Moreover, these climate change effects are predicted to become increasingly severe. Without improved planning and preparedness, countries' capacity to manage the impacts of climate change will be overwhelmed – compromising years of progress towards the Millennium Development Goals (MDG)<sup>4</sup> and other socio-economic development priorities.

Sustainable development necessitates appropriate planning for adaptation to the effects of climate change. Per the Intergovernmental Panel on Climate Change Fifth Assessment Report (IPCC AR5), adaptation choices in the near term will affect the risks of climate change throughout the 21st century.



**Figure 1: Iterative Planning Process to Build Climate Resilience<sup>5</sup>**

At present, national and sectoral planning processes in non-Least Developed Countries (non-LDCs)<sup>6</sup> have not fully integrated climate change risks and opportunities in an iterative and

<sup>3</sup> IPCC. 2014. Summary for policymakers. In: Field, C.B., V.R. Barros, D.J. Dokken, K.J. Mach, M.D. Mastrandrea, T.E. Bilir, M. Chatterjee, K.L. Ebi, Y.O. Estrada, R.C. Genova, B. Girma, E.S. Kissel, A.N. Levy, S. MacCracken, P.R. Mastrandrea, and L.L. White (eds.). 2014. *Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects*. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1-32.

<sup>4</sup> United Nations. 2007. *The Millennium Development Goals Report*.

<sup>5</sup> IPCC AR5, Climate Change 2014: Impacts, Adaptation and Vulnerability (Figure SPM.3)

comprehensive manner. National and sectoral planning processes provide a central means by which national development priorities are formulated, budgeted and implemented.

Non-LDCs have previously received support to prepare their National Communications (NCs) and Technology Needs Assessments (TNAs) through the UNEP/UNDP National Communications Support Programme and the Global TNA project, respectively. Through these processes, non-LDCs have identified adaptation priorities as well as developed rudimentary adaptation plans and programmes. However, the predicted effects of climate change on development goals necessitate increased consideration of medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for LDCs<sup>7</sup> and non-LDCs<sup>8</sup> to mainstream climate change into development planning.

At the 17<sup>th</sup> Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant organisations were requested to submit information on their support of the NAP process and to consider the establishment of NAP support programmes according to their respective mandates. The COP-17 requested that the Adaptation Committee (AC) include within its workplan modalities of support for LDC and non-LDC Parties to plan, prioritise and implement their national adaptation planning measures. The following activities to support non-LDCs were included in the AC workplan and approved during COP-18 (Doha)<sup>9</sup>:

- i) establish an *ad hoc* group – in collaboration with relevant organizations and experts – to develop modalities and guidelines for NAP processes in non-LDC developing countries for consideration by the AC at its second meeting;
- ii) further consider developing modalities and guidelines to support non-LDC developing countries in the planning, prioritisation and implementation of national adaptation planning measures;
- iii) establish a database or clearing house-type mechanism for information related to national adaptation planning;
- iv) communicate with Parties, relevant bodies, programmes and institutions with a view to collecting and compiling relevant information for national adaptation planning; and
- v) identify good practices for integrating adaptation into national development policies, processes and actions in collaboration with the Least Developed Countries Expert Group (LEG) and the Nairobi Work Programme (NWP) on impacts, vulnerability and adaptation to climate change.

In Doha, the COP-18 requested the Global Environmental Facility (GEF) to consider how to support non-LDCs through the Special Climate Change Fund (SCCF) to advance their NAP processes<sup>10</sup>. In Warsaw, the COP-19 requested the GEF to further specify its progress in responding to the above request<sup>11</sup>. As a result, at its 14<sup>th</sup> meeting in June 2013 the LDCF/SCCF Council endorsed the document GEF/LDCF.SCCF.14/06, *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance*

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<sup>6</sup> Non-LDCs refers to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

<sup>7</sup> Decision 1/CP.16 paragraph 15

<sup>8</sup> Decision 1/CP.16 paragraph 16

<sup>9</sup> Decision 11/CP. 18.

<sup>10</sup> Decision 9/CP.18, paragraph 1

<sup>11</sup> Decision 6/CP.19

from the United Nations Framework Convention on Climate Change (UNFCCC) COP<sup>12</sup>. This SCCF-financed project is a response to these calls from the COP to the GEF to support non-LDCs in the preparation for the NAP process.

A medium- to long-term adaptation planning process requires that non-LDCs build on the lessons learned from many past and current efforts in several respects, notably institutionally, technically, strategically and operationally. In particular, the institutional arrangements for this process need to facilitate comprehensive and iterative reviews of medium- to long-term climate change vulnerabilities and climate-sensitive development needs<sup>13</sup>. These reviews also need to be integrated into existing national development planning processes, rather than being stand-alone, one-off exercises. In this way, adaptation needs are more likely to become mainstreamed within national, sectoral and local (i.e. community-level) development strategies. Such an approach will facilitate: i) appropriate planning, budgeting and financing of adaptation interventions; ii) the establishment of mechanisms for iterative and continuous monitoring and review of the success of interventions; and iii) the capturing and dissemination of lessons learned to further refine and strengthen the NAP process.

## 2.2. Threats, root causes and barrier analysis

### *The problems to be addressed by the project*

The problem that the project will address is that **many non-LDCs do not presently have the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process to consider climate change in national development planning.** Given the current and emerging detrimental effects of climate change, addressing these knowledge and capacity gaps is urgent.

Further threats to achieving effective adaptation planning and root causes underlying existing shortfalls in institutional and technical capacity are described below.

### **Climate-change related threats**

**The multi-faceted and complex nature of climate change** requires it to be integrated into medium- to long-term planning across all sectors and at all levels of government in a coordinated manner. However, many non-LDCs are poorly equipped to manage climate change risks because they have limited institutional and/or technical capacities to plan for and adapt to the current and predicted effects of climate change. Consequently, the existing medium- to long-term planning processes in non-LDCs generally do not: i) fully consider the multiple risks and stresses of climate change affecting human, social, physical, natural and financial capital; or ii) apply adaptive management strategies to livelihood options and development plans given the complexity and uncertainty of climate change effects.

### **Non-climate change related threats**

**Budget coordination.** Limited coordination of budget across related sectors (e.g. water and agriculture) constrains adaptation planning and implementation in the medium- to long-term.

<sup>12</sup> Available online: [http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF\\_.14-06%2C%20Operationalizing%20Support%20to%20the%20Preparation%20of%20the%20NAP%20Process%20in%20Response%20to%20Guidance%20from%20the%20UNFCC.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF_.14-06%2C%20Operationalizing%20Support%20to%20the%20Preparation%20of%20the%20NAP%20Process%20in%20Response%20to%20Guidance%20from%20the%20UNFCC.pdf)

<sup>13</sup> FCCC/SBI/2011/11



Current budget allocations are done largely in isolation within line ministries. Because of this, adaptation planning remains uncoordinated and cross-sectoral climate change impacts are not adequately budgeted for.

**Budget shortfalls and limited access to funding.** Non-LDCs have multiple priorities for socio-economic development and limited national budgets. In this shortfall, budget allocations that focus on immediate economic growth or politically powerful issues – such as job creation and housing – are prioritised over climate change adaptation. Furthermore, access to international donor funding has been limited through both the: i) amount of funding available in comparison to the number of non-LDCs; and ii) capacity of non-LDCs to develop ‘bankable’ projects to access these funds. This limited capacity to develop ‘bankable’ projects also contributes to the limited number of public-private partnerships to finance medium- to long-term adaptation in non-LDCs.

### Preferred response

Whether considering urgent and immediate adaptation needs or medium- to long-term planning for adaptation, the overall objective of adaptation action remains the same, *viz.* reducing vulnerability to the impacts of climate change by minimising, reducing or avoiding risks as well as enhancing the capacity to adapt to climate change. Parties to the UNFCCC have defined a NAP as a continuous, progressive and iterative process to enable parties to identify, implement and communicate their vulnerabilities and adaptation actions at the national, sectoral and local levels as well as within the international, multi-lateral process of the Convention. NAPs provide an opportunity to strengthen adaptive capacity, including those elements related to capacity building for development planning.

The key principles guiding the NAP process are:

- participatory, country-owned, country-driven and fully transparent;
- multidisciplinary, leading to integration of adaptation into development;
- complementary to existing plans, programmes and mechanisms;
- oriented towards sustainable development;
- guided by sound environmental management;
- guided by gender-sensitive approaches;
- considerate of vulnerable groups, communities and ecosystems;
- guided by best available science;
- cost-effective in the wider context of sustainable development; and
- iterative, flexible, dynamic and continuous with clearly set time frames<sup>14</sup>.

The **preferred response** is to advance the NAP process through **developing technical expertise, improving coordination mechanisms and promoting the sharing of knowledge and best practices among non-LDCs**. This would support non-LDCs to integrate adaptation considerations into existing policies, strategies and planning processes for medium to long-term development, in some cases building on already existing nationally owned processes. The preferred solution would see climate change adaptation policy, strategies and planning procedures being **governed appropriately** (i.e. country-driven, gender-sensitive and transparent), **embedded in institutions across a range of scales** (i.e. local to national) and being **evidence-based** (i.e. using the best available scientific data and robust technologies).

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<sup>14</sup> FCCC/SBI/2011/12

To achieve the preferred response, a number of **barriers** will need to be addressed. These are as follows:

#### *Institutional Coordination Mechanisms*

Integrating adaptation into medium- to long-term development planning requires an institutional framework that promotes cross-sectoral and national/sub-national coordination. The effectiveness of current coordination mechanisms differs across developing countries. These are often inadequate for the multi-sectoral and multi-level planning that is required for medium- to long-term adaptation planning. Currently, the mandate for addressing climate change often lies within the ministries of environment/natural resources. Effective integration of climate change adaptation planning, however, requires a coordinated approach among multiple ministries. For example, integrating climate change adaptation into plans for the water sector typically involves other sectors such as finance, planning, infrastructure, agriculture and health at both national and sub-national levels.

#### *Technical Capacity for Adaptation Planning*

A key distinction between LDCs and non-LDCs is that most non-LDCs have not been required to identify priorities for climate change adaptation in the short-term (e.g. through National Adaptation Programmes of Action (NAPAs))<sup>15</sup>. Although many non-LDCs have begun adaptation planning in the absence of a NAPA (see Annex 20), these countries have not benefitted from the technical capacity building for adaptation that has been provided through NAPA-catalysed projects e.g. LDCF projects.

Non-LDCs have varying levels of technical capacity for adaptation planning. For many, this limited experience specific to including adaptation priorities within policy frameworks, is evident by the lack of necessary technical capacity to a) appropriately apply policy guidance on climate change adaptation planning and b) perform the necessary assessments and analyses to inform medium- to long-term adaptation planning and budgeting. Technical capacity, such as the skills to apply up to date climate models or undertake a cost-benefit analysis, is needed to strengthen integration of medium- to long-term considerations for climate change adaptation into development planning as well inform the design of 'bankable' adaptation interventions for implementation at the national and sub-national level across all sectors.

Technical capacity is further challenged by the issue of staff retention. This is a result of various factors including *inter alia* large wage differentials between the public and private sector. High turnover of government personnel results in a limited numbers of appropriately trained personnel to perform technical assessments and tasks and loss of institutional memory, including the loss of data needed for developing climate scenarios.

#### *Access to Finance*

The funding required for mitigation, adaptation, and technology is considerable. In developing countries, mitigation could cost \$140 to \$175 billion per year over the next 20 years (with associated financing needs of \$265 to \$565 billion); over the period 2010 to 2050 adaptation investments could average \$30 to \$100 billion a year. These figures can be compared to the

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<sup>15</sup> Some non-LDCs that have recently graduated from the LDC group have developed NAPAs, these should serve a foundation documents for the NAP. Countries include Cape Verde, the Maldives and Samoa.

roughly \$100 billion per year made available for broader development assistance<sup>16</sup>. This funding gap is especially wide in non-LDCs which have limited access to multi-lateral financial support for adaptation initiatives<sup>17</sup>.

Investment in adaptation in non-LDCs is therefore largely dependent national public finance. Improving use of public funds for adaptation will require improvements to the efficiency and effectiveness of project design and implementation - maximizing results with limited financial resources.

Given the considerable funding necessary for adaptation, innovation is necessary to diversify sources of funding for adaptation and create new revenue streams. Innovative financial schemes (e.g. green bonds) and incentivizing private sector investment, however, are both areas which have been underexplored in most non-LDCs.

#### *Access to Information and Knowledge*

A number of international tools, methods and guidelines exist for adaptation planning and the NAP process. However, these are often not applied because they are not readily available to, or widely known by, technical staff in non-LDCs; and/or government staff in non-LDCs often do not have the necessary technical skills to interpret and apply these tools, methods and guidelines. When applied correctly, these tools, methods and guidelines can provide support to technical staff for using climate information to inform sector-specific adaptation plans across various sectors and levels of government in a manner that is cost-effective and socially appropriate.

Current sharing of knowledge, best practices and lessons learned through partnerships, platforms and outreach programmes is also limited among developing countries. Such an exchange of knowledge, best practices and lessons learned – particularly South-South and North-South exchanges – would catalyze the NAP process.

Knowledge exchange is particularly critical for regions in which a collaborative approach to climate change adaptation is needed (e.g. the Mekong River Basin and the Ganges-Brahmaputra-Meghna River Basin). Where platforms for knowledge exchange do exist, they are somewhat underutilized. Such platforms include the Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean (REGATTA), Africa Adaptation Knowledge Network (AAKNet), West Asia Regional Network on Climate Change (WARN CC), Asia Pacific Adaptation Network (APAN), Adaptation Learning Mechanism (ALM) and Global Adaptation Network (GAN). Furthermore, existing platforms often include many countries that have a wide range of adaptation priorities. In trying to accommodate as many countries as possible, the knowledge and information available on these platforms is often too broad to be useful for addressing specific adaptation needs. Therefore, specialized groups that have similar priorities need to be formed within and across existing platforms. For example within REGATTA, Caribbean nations – which are mostly Small Island Developing States (SIDS) – have different adaptations priorities to mainland Latin America and would

<sup>16</sup> World Development Report 2010 (<http://siteresources.worldbank.org/INTWDRS/Resources/477365-1327504426766/8389626-1327510418796/Chapter-6.pdf>)

<sup>17</sup> The majority of finance for adaptation has been disbursed by the LDCF, SCCF and Pilot Programme for Climate Resilience (PPCR). Both the SCCF and PPCR focus on LDCs and non-LDCs. Sub-Saharan Africa and Asia and Pacific – where the majority of LDCs are located – has received the greatest total share (31.3% and 37.8%) of disbursed climate finance. In comparison, the Middle East and North Africa, and Latin America and the Caribbean have received 4.6% and 10.8% of disbursed climate finance, respectively. <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/7910.pdf>

benefit from a knowledge-sharing platform providing information that is tailored to their specific needs.

**The project will contribute to overcoming these barriers by:**

**Improving national coordination mechanisms for multi-sectoral planning, budgeting, implementation and monitoring at the national and sub-national levels.** The project will support the strengthening of coordination between: i) different levels of government within countries; ii) governments of countries with similar adaptation priorities; iii) the academic community and civil society; iv) technical experts; v) the private sector; and vi) local communities. This improved coordination will: i) increase clarity and efficiency; ii) resolve conflicts/trade-offs; iii) avoid redundancy; and iv) allow non-LDCs to leverage capacity that is already present and/or that is being supported by other initiatives. Firstly, to strengthen national coordination mechanisms, climate-resilient planning at the sub-national level will need to be included in planning process from the outset. To this end, sub-national capacity needs will be differentiated from those needs identified at the national level. Secondly, the role and responsibilities of different stakeholders at the national and sub-national (including local) levels will be clearly established. This will clarify the institutional arrangements for the formulation, implementation and monitoring and evaluation (M&E) of countries' NAPs. Thirdly, existing policies, strategies and national development planning in individual non-LDCs will be used as entry-points for advancing the NAP process. Building on existing strategies, policies and plans will avoid the creation of parallel structures and/or processes that may lead to conflict or redundancy. Linkages and alignments to existing initiatives related to local, sectoral and national development planning processes will be made. Additionally, lessons learned from past development planning, including both successes and failures, will inform future development planning that includes considerations for medium- to long-term adaptation. This will encourage the political support and consensus that is required for an integrated approach to prevent the NAPs being a stand-alone process.

**Increasing in-country knowledge and technical capacity.** To account for the varying needs of non-LDCs, support for capacity development will be provided through a package of mechanisms that includes: i) extended national support; ii) target national support; iii) multi-country technical training; iv) online training and knowledge products; and v) South-South and North-South exchanges of lessons learned and knowledge. The project will promote knowledge sharing and capacity development across all relevant sectors within non-LDCs. As a result, instead of knowledge on climate change effects and adaptation remaining in a select number of ministries, such knowledge will permeate into planning ministries (e.g. Finance and Planning/Development) as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry). Knowledge sharing as well as planning and budgeting for adaptation will also be promoted at a sub-national level according to the degree of decentralisation and devolution of administrative responsibilities in each country.

**Improving South-South and North-South exchange of lessons and knowledge.** Exchange of information and replication of good practices for medium- to long-term adaptation planning will also be promoted between countries and regions. This will improve collective learning and capacity development in non-LDCs. Additionally, guidance from *inter alia* the NAP Global Support Programme (GSP) for LDCs and the AC will further support the application of good practices for medium- to long-term planning for climate change adaptation.

By achieving the above, the project will overcome barriers to advancing of the NAP process in non-LDCs by:

- **improving coordination mechanisms** for medium- to long-term adaptation planning and budgeting through broad technical support as well as dedicated national support to non-LDCs;
- **providing technical support** through training on relevant tools, methods and guidelines for medium- to long-term adaptation planning and budgeting; and
- **enhancing networks and partnerships for knowledge dissemination** on the NAP process and lesson learned among non-LDCs.

### 2.3. Global significance

The SCCF-financed project will result in benefits at the national, regional and global level through assisting non-LDCs to advance medium- to long-term planning processes for adaptation to climate change. For example, appropriate medium- to long-term planning for climate change can: i) generate multiple social, economic and environmental co-benefits in non-LDCs; ii) contribute to conservation and sustainable use of biodiversity, including species of global significance; and iii) contribute to climate change mitigation<sup>18,19</sup>. Enhancing medium- to long-term planning for climate change can achieve adaptation benefits for various sectors such as health, agriculture and water. This will contribute to sustainable development in non-LDCs and will support poverty reduction and the ability of non-LDCs to achieve the United Nations' MDGs.

### 2.4. Institutional, sectoral and policy context

#### *Global and regional frameworks*

The conventions outlined below provide frameworks and guidelines that inform policy in signatory nations. Examples include guiding policy documents generated under the UNFCCC, the UNCCD's National Action Programme and the CBD's National Biodiversity Strategic Action Plans (NBSAPs). Medium- to long-term planning for climate change adaptation can provide multiple social, economic and environmental benefits, but this has not resulted in a widespread adoption of appropriate planning at national levels that includes multiple sectors and is aligned with national policies, strategies and priorities. There is a need for these frameworks to increase the emphasis on – and facilitate the mainstreaming and adoption of – medium- to long-term planning for adaptation in national line ministries, as well as planning and financing ministries. The project will contribute to these frameworks by strengthening national capacities for medium- to long-term planning for climate change adaptation.

The **UNFCCC** coordinates the efforts of 195 signatory countries to mitigate and adapt to climate change within a global response. The climate change adaptation and mitigation strategies of signatory nations are prioritised and developed through a set of stocktaking and reporting mechanisms under the UNFCCC. For example, all signatories to the convention produce periodic NCs which report national greenhouse gas inventories and describe national activities to implement the Convention. These NCs include details such as: i)

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<sup>18</sup> Secretariat of the Convention on Biological Diversity. 2009. Connecting Biodiversity and Climate Change Mitigation and Adaptation: Report of the Second Ad Hoc Technical Expert Group on Biodiversity and Climate Change. Montreal, Technical Series No. 41, 126 pages.

<sup>19</sup> Non-LDCs in Eastern Europe are developing integrated adaptation and mitigation programmes.

vulnerability assessments; ii) status of financial resources and transfer of adaptation technology; iii) education, training and public awareness; and iv) policies and strategies for climate change mitigation and adaptation. As another example, the TNAs are country-driven processes to identify national technology needs for appropriate adaptation and mitigation activities.

The **Hyogo Framework for Action (HFA) 2005-2015** is a 10-year plan of prioritised actions to reduce the threat and impact of natural hazards associated with climate change. The HFA describes five priority actions and provides practical guiding frameworks for member states to coordinate the multiple sectors involved in planning for and responding to disaster risks and increasing resilience to natural disasters. The overarching goal of the HFA is to substantially reduce the environmental and socio-economic impacts of disasters and natural hazards associated with climate change by 2015 as well as to build local and national resilience to these disasters. The initial period of commitment for the HFA will expire in 2015. The NAP process is complementary to the HFA in its focus on the coordination of planning for medium- to long-term climate change adaptation over multiple sectors.

The **Convention on Biological Diversity (CBD)** is an international framework for guiding signatory nations on the management of biological diversity. The three main objectives of the CBD are: i) the conservation of biological diversity; ii) the sustainable use of the components of biological diversity; and iii) the fair and equitable sharing of the benefits arising from the utilisation of genetic resources. The CBD is implemented by signatory countries at the national level by developing National Biodiversity Strategies and Action Plans, which provide guidelines for mainstreaming biodiversity management strategies into the planning and implementation of appropriate interventions in all national sectors whose activities influence biodiversity. The NAP process is aligned with this in its inclusion of multiple national sectors in medium- to long-term adaptation planning.

The **United Nations Convention to Combat Desertification (UNCCD)** is an international framework established to guide long-term national and international policies/strategies to counter desertification and drought. The resolutions of the Convention are implemented through National Action Programmes as well as Action Programmes on the Sub-regional and Regional level. These various Action Programmes are developed through a participatory approach involving local stakeholders, and describe the practical steps to be taken to combat desertification in specific ecosystems. The medium- to long-term focus of the NAP process, as well as its emphasis on the alignment of climate change adaptation planning to national policies and strategies through multi-stakeholder consultation will complement the work conducted under the UNCCD.

The **MDGs** describe eight targeted indicators for human development which signatory nations have committed to achieve by 2015. These include targets for: i) eradicating extreme poverty and hunger; ii) achieving universal primary education; iii) promoting gender equality and empowering women; iv) reducing child mortality rates; v) improving maternal health; vi) combating HIV/AIDS, malaria, and other diseases; vii) ensuring environmental sustainability; and viii) developing a global partnership for development. The MDGs do not focus explicitly on either climate change adaptation. However, efforts to achieve several of the MDGs would be strengthened by the success of medium- to long-term planning for climate change adaptation in non-LDC developing countries, as envisioned in the NAP process.

**Sustainable Development Goals (SDGs)** will build upon the MDGs. At the Rio+20, it was decided to establish an "inclusive and transparent intergovernmental process open to all stakeholders, with a view to developing global sustainable development goals to be agreed

by the General Assembly”<sup>20</sup>. These goals constitute an integrated, indivisible set of global priorities for sustainable development. Targets are defined as aspirational global targets, with each government setting its own national targets guided by the global level of ambition but taking into account national circumstances. The goals and targets integrate economic, social and environmental aspects and recognize their interlinkages in achieving sustainable development in all its dimensions<sup>21</sup>; targets include action on adaptation.

The **Global Framework for Climate Services** (GFCS) was established under the guidance of the World Meteorological Organisation (WMO) to support the integration of science-based climate information into decision-making processes. This will enable governments to better manage the risks associated with climate change, particularly within the priority sectors of agriculture/food security, water, health and disaster risk reduction. The NAP process is complementary to the GFCS through its focus on the use of climate information to inform medium- to long-term planning for climate change adaptation.

The **Intergovernmental Panel on Climate Change** (IPCC) provides climatic information on the current and projected climate change situation, including the expected impacts of climate change on various sectors and regions of the world. Non-LDCs are able to engage with the climatic information and scenarios in the recent Fifth Assessment Report (AR5) to inform medium-to long-term decision-making across various sectors. The AR5 highlights the need for integrated action on climate change adaptation across all countries with a view to addressing climate change impacts in the medium- to long-term.

The project has been designed to align with the revised SCCF results framework under GEF6<sup>22</sup>, which captures the two objectives of the NAP process, as defined by the Conference of the Parties to the UNFCCC at its seventeenth session:

- i) to reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; and
- ii) to 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 (decision 5/CP.17, paragraph 18).

The SCCF-financed project will contribute to the following SCCF Focal Area Objectives for climate change adaptation:

- Objective 2: “Strengthen institutional and technical capacities for effective climate change adaptation”. Specifically, the project will address Outcome 2.3: “Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures”.
- Objective 3: “Integrate climate change adaptation into relevant policies, plans, and associated processes”. Specifically, the project will address Outcome 3.1: “Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened”.

### **National policy (NAPAs, NAPs, INCs SNCs, TNAs)**

<sup>20</sup> <http://sustainabledevelopment.un.org/?menu=1300>

<sup>21</sup> <http://sustainabledevelopment.un.org/focussdgs.html>

<sup>22</sup> GEF/LDCF.SCCF.17/05/Rev.01

Through the preparation of NCs and TNAs, non-LDCs have identified adaptation priorities as well as developed preliminary adaptation plans and programmes. These processes also established multi-stakeholder platforms for national dialogue on climate change adaptation – often for the first time in the country. However, the resultant plans and programmes are typically sector-specific and short-term. Coordination of cross-sectoral efforts for climate change adaptation were not systematically considered. The SCCF-financed project will contribute towards addressing this by supporting non-LDCs to advance medium- to long-term planning for adaptation to climate change across all relevant sectors. This will build on and enhance adaptation options identified in NCs. Additionally, the SCCF-financed project will build on the multi-stakeholder platforms that were established for NCs and TNAs to enhance coordination of climate change efforts.

## 2.5. Stakeholder mapping and analysis

As the project is global in scope, consultations with country representatives and development partners were sought through major climate change-related events, as well as Adaptation Committee meetings, in particular:

- Bonn Climate Change Conference, Bonn, June 2014
- Taller Sub-regional – "Medidas y Proyectos de Adaptación al Cambio Climático, explorando oportunidades de financiamiento" (Sub-regional Workshop –Climate Change Adaptation-related Actions and Projects in Mesoamerica and the Caribbean, Searching for Funding Opportunities, Mexico City, September 2014
- USAID Adapt Asia-Pacific Third Annual Forum 2014, Siem Reap, September 2014
- NAP Task Force Meeting, Bonn, September 2014
- 6<sup>th</sup> Meeting of the Adaptation Committee, Bonn, September 2014

Further, existing networks and in-country missions were used to conduct additional consultations with non-LDCs on country needs, experiences and progress related to the NAP process. As a result, the project design benefits from feedback collected from country representatives across multiple regions. Stakeholders consulted during the PPG phase are listed in Table 1 below.

**Table 1: Country Consultations**

Countries and UNFCCC Party Groupings			
African States	Ecuador	Kenya	Palau
Alliance of Small Island States (AOSIS)	El Salvador	Kyrgyzstan	Panama
Armenia	Federated States of Micronesia	Former Yugoslav Republic of Macedonia (FYROM)	Philippines
Belize	Fiji	Maldives	Samoa
Bolivia	G-77 and China	Marshall Islands	Serbia
Brazil	Georgia	Mexico	South Africa
Colombia	Ghana	Mongolia	Sri Lanka
Cook Islands	Grenada	Montenegro	Thailand
Costa Rica	Guatemala	Nauru	Trinidad & Tobago
Cuba	Honduras	Nicaragua	Turkmenistan
Dominican Republic	Indonesia	Nigeria	Uruguay



Eastern European States	Jamaica	Pakistan	Viet Nam
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Non-LDCs have varying levels of capacity and development. Thus, these countries are at varying stages of the NAP process. However, common themes for challenges and needs emerged from consultations. These themes include: a) enhancing inter-ministerial dialogue and coordination; b) moving from planning to implementation; c) improved guidance on the NAP process; and d) knowledge sharing.

#### *Enhancing Inter-ministerial Dialogue and Coordination*

Some non-LDCs have developed NAP-type strategies/plans, but these are not always comprehensive enough to encompass the full extent of medium- to long-term adaptation priorities. Support is needed to foster increased collaboration for bringing sectoral plans together under an overall national programme, and/or to adjust planning towards the longer term.

#### *Moving from Planning to Implementation*

Many non-LDCs consulted are confident that their existing national strategies and plans adequately integrate climate change, and were anxious to move from planning to implementation. However, access to finance was identified as a challenge to implementation in all consultations. Non-LDCs acknowledged their limited access to donor support and requested training which would help them secure the necessary financing through other means. This included training on conducting cost-benefit analyses at project and sectoral level to identify efficient and sustainable adaptation options, designing bankable projects and identifying innovative financial schemes to support implementation of adaptation initiatives.

Another key challenge related to implementation was the monitoring and evaluation framework necessary for informing an iterative planning and implementation process, and the related selection of indicators for effective oversight of NAP implementation.

#### *Guidance on the NAP process*

Guidance on the NAP process was requested from countries, while stressing that the NAP process must be flexible enough to apply to their chosen national approaches to address climate change. For example, several Pacific Island Countries (PICs) are in the process of drafting, or have completed, their Joint National Action Plan (JNAP), which seeks an integrated approach towards addressing climate change and disaster risk management. Similarly, some Eastern European and Latin American countries are approaching climate change adaptation together with climate change mitigation, citing that viewing adaptation alone will not address their particular climate change issues.

#### *Knowledge Sharing*

All non-LDCs expressed interest in learning about NAP-related experiences in other countries. The NAP process is a large undertaking, and countries want to be able to learn from the successes of other countries, especially those at similar stages of development and/or facing similar challenges.

Annex 20 provides a more detailed account of country consultations.

The above themes are consistent with lessons learned and emerging issues from the first year of implementation of the LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, which include:

- Most LDCs agree that NAP is both a process and a document.
- Climate finance for NAP is a priority for most countries, including finance for implementation.
- Institutional coordination is a challenge for all countries. Exchange of experiences can promote learning.
- Broadening the NAP process beyond environment ministries to integrate with planning and budgeting processes and national development strategies is a long-term process.
- Countries are eager to move from planning to implementation.
- Countries are requesting additional technical support, both in-country and regional level trainings, to advance NAPs.
- There is high demand for technical support to advance the NAP process.
- More targeted and sustained one-one-one support is required based on specific institutional and national context in LDCs.
- Regional thematic workshops provide an avenue for technical training as well as South-South exchange.

Both the results of stakeholder consultations and lessons learned from the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, have helped to refine project design.

Consultations with development partners highlighted ongoing support related to the NAP process. Like the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, this SCCF-financed project will exercise a collaborative approach with development partners to support countries, maximising the impact of combined resources and expertise.

## **2.6. Baseline analysis and gaps**

### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

Stakeholder consultations indicate existing adaptation policies, strategies and plans are at different stages, and vary in scope and approach. For example:

- Several countries in the Pacific region have developed, or are in the process of developing, Joint National Action Plans (JNAPs) which seek to address climate change adaptation and disaster risk reduction comprehensively.
- Policies in Eastern European and Latin American countries combine climate change mitigation and adaptation, citing that approaching climate change adaptation alone will not adequately address their challenges.
- Countries from the Balkan region have started the process of harmonization of policies and legislation with the European Union, including on climate change.

- Some non-LDCs have only recently graduated from LDC status (e.g. Maldives), and have National Adaptation Programmes of Action (NAPAs)<sup>23</sup>, which were not fully implemented. They therefore continue to use their existing NAPA to guide adaptation planning.
- Many countries cited effective sub-national or sectoral planning documents and action plans, which can be built upon by expanding their current scope to a national level and/or towards a medium- or long-term view.

Climate change action in countries is often led by the ministries of environment, with little or ineffective coordination with other planning and line ministries. As climate change is cross-sectoral with economy-wide impacts, inter-ministerial cooperation is critical to ensure that climate change is integrated into development planning, and must therefore be enhanced. Consultations with countries indicated varying successes and challenges related to effective coordination. While some countries felt they had effective systems in place and simply needed support to advance their NAP, others requested support to first sensitize the various ministries on how climate change could impact their respective sectors as well as their related medium- to long-term planning.

Plans and strategies are in place in many developing countries, but they still face the challenge of securing finance for implementation of those plans. There is limited access to acquiring technical and financial assistance for adaptation, and available sources of international and domestic public funds are often insufficient to meet adaptation needs. Technical capacity is lacking in areas such as economic analysis and developing bankable projects, which would prove efficiency and effectiveness in light of other adaptation options – thus improving the quality proposals for funding from various sources.

#### *Ongoing initiatives that contribute to this Component*

Component 1 of the SCCF-financed project will build on the ongoing initiatives listed below.

The UNDP-implemented components of the project builds on a range of on-going baseline initiatives and leverages over 16 times the related grant contribution of \$2,250,000 in the form of co-financing (\$38,000,000).

The *Low-Emission Capacity Building (LECB) Programme* is supported by UNDP, the European Union, the Government of Germany, and the Government of Australia, with a total budget of \$40million. The LECB Programme facilitates cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMA), strengthens technical capacity and facilitates public-private partnerships. In the context of the SCCF project, the LECB programme lays a critical foundation upon which work can be augmented to include a) climate scenarios and adaptation planning in light of agreed mitigation interventions at the country level (Outcome 1), and b) further public-private collaboration to finance technological investments related to adaptation (Outcome 1 and Output 3.2). Further, the LECB programme is currently developing a methodology for providing technical assistance to countries on identifying, tracking and monitoring the allocation, management and results of public expenditures related to climate change (in line with UNDP support on Climate Public Expenditure and Institutional Reviews (CPEIR)) and carrying out private sector assessments

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<sup>23</sup> National adaptation programmes of action (NAPAs) provide a process for Least Developed Countries (LDCs) to identify priority activities that respond to their urgent and immediate needs to adapt to climate change – those for which further delay would increase vulnerability and/or costs at a later stage.  
([http://unfccc.int/national\\_reports/napa/items/2719.php](http://unfccc.int/national_reports/napa/items/2719.php))

in Chile, Mexico, Thailand, Indonesia, and Vietnam. For Chile and Mexico, the work will include both the CPEIR and private sector analysis, while for the last three countries, only a private sector assessment will be developed. This methodology will serve as a basis for the in-country trainings related to this topic, undertaken under Outcome 1 of the proposed project. Private sector assessments can be replicated in countries that find it necessary, once the methodology is completed and tested under the LECB programme. \$15million of the total is counted as related co-financing for this project.

The LECB Programme is active in 25 countries, 22 of which are non-LDCs: Argentina, Chile, China, Colombia, Costa Rica, Ecuador, Egypt, Ghana, Indonesia, Kenya, Lebanon, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Tanzania, Thailand, Trinidad and Tobago, Viet Nam and Zambia. Related co-financing for this programme is \$15million.

There is an opportunity to include adaptation considerations in this important exercise, especially given the link that countries stressed about the importance of viewing climate change mitigation with climate change adaptation.

The 4-year **Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)** project is funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) with approximately \$13 million. Implemented by UNDP and FAO, the project's goal is to integrate climate change risks and opportunities related to livelihood options from the agricultural sector within existing national planning and budgeting processes. The project is focused on Kenya, Nepal, Philippines, Thailand, Uganda, Uruguay, Vietnam, and Zambia. The goal of the project will be achieved through four main pillars: i) strengthening the institutional capacity of key ministries (Agriculture, Environment and Planning) and local government on NAPs; ii) developing integrated roadmaps for agriculture sector NAPs; iii) improving the evidence-based results for NAPs using experimental design frameworks; and iv) conducting knowledge sharing and advocacy on NAPs. In overlapping programme countries, the SCCF-financed project will be coordinated with the BMUB project to avoid duplication of efforts, particularly in regards to developing NAP roadmaps for the agricultural sector and interventions to build institutional capacity (including in-country trainings and development and application of toolkits/training material). Further, synergies will be explored and capitalised for interventions for knowledge exchange, such as regional exchanges (planned under the BMUB project) on science and technology and economics of adaptation, etc., as well as global outreach efforts regarding UNFCCC processes and Green Climate Fund. Of this total, \$8 million is being counted as co-financing for this SCCF project.

In the context of support for NAPs, the *Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)* project (funded by the International Climate Initiative, or ICI of BMUB- Government of Germany) seeks to assist developing countries to build technical capacities to integrate key adaptation requirements for the agriculture sectors into cross-sectoral planning and budget processes. Evidence based results, using experimental design principles of monitoring frameworks will be shared for informed policy decisions. Capacity building support is linked to the assistance already being provided by UNDP in support of NAPs. This project will enable UNDP and FAO to apply their respective strengths in jointly assisting developing countries. This integrated approach will serve as a model for other sectors on how to integrate sector based issues into the overall NAPs process. Specifically, the project focuses on the items discussed below.

- Strengthen key ministries including of agriculture, environment, planning, local government to mainstream climate into key sectors. Existing methods and tools will

be employed for officers to i) understand the implications of climate change on the agriculture sector and others; ii) to incorporate key priorities within the existing planning and budgeting process at the national and sub-national level.

- Develop integrated roadmaps for NAP. This will strengthen and institutionalize processes for the formulation of climate resilient NAPs addressing agriculture sectors concerns and others. Each country will develop, in the context of the ongoing NAPs process, a roadmap and advanced NAPs, including cost benefit assessments of adaptation options and budgeting aspects.
- Improve evidence-based results for NAPs; this will generate evidence based results of adaptation options for the agriculture sectors using experimental design principles in a monitoring framework, serving also as an input into the policy dialogue on national adaptation planning.
- Conduct advocacy and knowledge sharing on NAPs: this will enhance the exchange on integrated climate change risks and adaptation measures (adaptation plans).

The SCCF project can build on this project, by broadening the scope of NAP support beyond the agriculture sector.

The ongoing, UNDP-implemented **Japan-Caribbean Climate Change Partnership** project has a total budget of US \$15 million from the Government of Japan. The programme is aimed at promoting policy innovation to incubate and disseminate climate technology in Dominica, Grenada, Saint Lucia, Saint Vincent and the Grenadines, Guyana, Jamaica, Belize and Suriname. It is expected that through this initiative, mitigation and adaptation interventions will be implemented on the ground, in line with the countries' long-term strategies. Furthermore, the project seeks to strengthen the capacity of countries in the Caribbean region to invest in adaptation and mitigation technologies, as prioritised in their NAMAs and/or NAPs. These technologies will help reduce the dependence of the Caribbean region on fossil fuel imports thereby promoting low-carbon development in the region. Moreover, this will improve the region's ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond a disaster response to short-term (extreme) events. The facility will help the integration of climate risks and opportunities into economic planning and budgeting across key sectors e.g. water, energy, agro-forestry, urban/transport (upstream level). This integration will promote investments in concrete adaptation and mitigation technology e.g. solar PV for irrigation and electricity generation, early warning system equipment, solar water heaters, energy efficient lighting (downstream level). It will provide a regional platform for the promotion of low-emission and climate-resilient technologies for the Caribbean, considering the multi-sector coordination challenges amongst climate change and other stakeholders in the region. Through a regional approach, the project aims to attract and catalyse additional/incremental technology investments, by removing the barriers preventing investment into these applications: financial (upfront cost of adaptation/mitigation technologies), information (limited awareness of their long-term benefits) and capacity (policy/technical, institutional and individual constraints to embrace these technologies).

The Japan-Caribbean Climate Change Partnership project provides policy support and capacity building to ensure the continuous monitoring of the: i) progress; ii) productivity; iii) feasibility and profitability (using cost-benefit analyses); and iv) acceptability by the farmers of various interventions. This is in the context of supporting countries to commence a process of advancing energy security and integrating medium- to long-term planning for adaptation to climate change within, or aligned with, current development planning and budgeting processes.

There are opportunities to benefit from these efforts by applying the monitoring and analysis tools outside the Caribbean.

The successes of the above efforts can be complemented cost-effectively by expanding support to other regions.

The **Capacity Building Programme on the Economics of Climate Change Adaptation (ECCA)**<sup>24</sup> has provided training on project-level cost-benefit analysis, sectoral analysis, and hydro-economic modelling. Working in Asia, Africa and the Pacific, the objective of the programme is to strengthen the capacity of technical officers in ministries of planning/finance, as well as line ministries (environment, agriculture, water, public works, and others) to assess economic costs and benefits when evaluating different adaptation alternatives, as they relate to medium- and long-term national, sub-national and sectoral development plans.

ECCA is coming to a close by mid-2015, and is therefore not counted in the co-financing figure, however, there are opportunities to build on its successes by further developing packaging and making available the programme training materials.

The ECCA programme's non-LDC participating countries include Cameroon, Fiji, FS Micronesia, Ghana, Indonesia, Maldives, Mongolia, Mozambique, Philippines, Samoa, Solomon Islands, Sri Lanka, Thailand, Tunisia, Tuvalu, Viet Nam and Zimbabwe.

The COP agreed that planning for adaptation at the national level is a continuous, progressive and iterative process<sup>25</sup>. A critical component of an iterative process is a monitoring and evaluation mechanism, results of which would feed back into the ongoing process and be used in producing updated NAPs, and other relevant plans, on a periodic basis<sup>26</sup>. This was an area where countries requested additional guidance.

The UNDP-led Economics of Adaptation Capacity Building Programme, in partnership with USAID, ADB, and GWP has provided training on project-level cost-benefit analysis, sectoral analysis (for the agriculture and water sector) including on microeconomic and hydro-economic modelling techniques. Working in Asia, Africa and the Pacific, the objective of the programme is to strengthen the capacity of technical officers in ministries of planning/finance, as well as line ministries (environment, agriculture, water, public works, and others) to assess economic costs and benefits when evaluating different adaptation alternatives, as they relate to medium- and long-term national, sub-national and sectoral development plans.

## **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

At present, relevant government institutions and other stakeholders in non-LDCs do not have sufficient technical knowledge to advance country-specific NAP processes. For example, planning ministries within non-LDCs seldom have access to evidence-based technical tools, methods, guidelines and supplementary material – hereafter referred to as toolkits – for integration of adaptation priorities into medium- to long-term development planning, despite

<sup>24</sup> <http://www.undp-alm.org/projects/ecca>

<sup>25</sup> Decision 5/C p.17, paragraph 2

<sup>26</sup> 2012, LDC Expert Group, National Adaptation Plans – Technical guidelines for the national adaptation plan process, pg 14.

the existence of a number of toolkits applicable to the NAP process. Up until now, these toolkits have been designed largely for the purposes of LDCs and include the following:

- PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;
- the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;
- sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;
- UNFCCC LEG Sourcebook on the NAPs (currently under development)
- relevant tools/guidance from the NAP GSP for LDCs;
- GIZ Smart National Adaptation Planning Tool (SNAP) and National Adaptation Plan country-level training; and
- tools/guidance on M&E/MRV, Loss & Damages, CPEIRs, climate finance readiness, etc.

Despite the lack of availability of toolkits relating to the NAP process geared towards non-LDCs, the preparation of NCs has contributed to non-LDCs having basic knowledge on climate change impacts and vulnerabilities as well as adaptation interventions that are socially appropriate and cost-effective. This is largely based on the UNFCCC guidelines developed by the Consultative Group of Experts on National Communications (CGE). These guidelines include prioritising and designing national adaptation programmes for major sectors that are vulnerable to climate change. However, there is little support to apply these guidelines within country-specific contexts.

The LEG NAP technical guidelines were developed to provide guidance to LDCs on advancing their NAP processes. LDCs that have engaged with these guidelines for initial NAP processes have found them to be useful, however some LDCs (e.g. Bangladesh) have expressed that additional guidelines and support are needed. Furthermore, these guidelines may require adjustments to address the context of non-LDCs. At present, the guidelines remain broad and do not provide sufficient guidance on particular geographic/regional or sectoral adaptation priorities. For example, many SIDS consider disaster risk management to be integral to climate change adaptation owing to their particular vulnerability to climate-induced disasters such as storm surges. Furthermore, sharing of knowledge and experiences among non-LDCs on the application of available guidelines within relevant geographies/regions<sup>27</sup>, themes<sup>28</sup> and sectors<sup>29</sup> are limited. The guidelines are thus perceived as being broad and generic, with few non-LDCs having access to working examples of the application of the guidelines within their particular socio-economic and environmental contexts. For example, Granada has begun the NAP process with support from GIZ, however this experience is not shared among SIDS.

The application of the current toolkits in non-LDCs for the NAP process is constrained by a number of factors.

- Firstly, lessons learned from LDCs on advancing their NAP processes<sup>30</sup> have shown that the proliferation of toolkits is creating confusion among user countries. This is also the case for non-LDCs, where the available toolkits are not always understood by the intended users. The undefined relation between toolkits and the application of different toolkits during different stages of the NAP is creating confusion. The result is limited

<sup>27</sup> E.g. SIDS, Central Asia, Latin America.

<sup>28</sup> E.g. vulnerability analyses, local-level planning, cost-benefit analyses.

<sup>29</sup> E.g. water, agriculture, health.

application of available toolkits for adaptation planning in non-LDCs. There is a need to review the relevant toolkits with a view to packaging and linking them more effectively to improve clarity and understanding of what distinct sectors different toolkits can address.

- Secondly, the application of the existing toolkits is further constrained by limited technical capacity of relevant institutions in non-LDCs. Because of this, technical support on the application of the toolkits has been identified by non-LDCs as a priority need. For example, Ecuador has requested technical support to apply guidelines related to vulnerability analyses e.g. PROVIA guidelines.
- Thirdly, many of the current toolkits are only available in a limited number of languages. This limits the ease of application of such toolkits in non-LDCs where government staff are not fluent in the languages in which these toolkits are available. For example, stakeholders consulted during the PPG phase indicated that the current toolkits need to be available in French for application in Francophone countries. Similar needs were expressed for translation of tools into Spanish for Latin American countries and Arabic for West Asian countries.

As a result of *inter alia* the three factors described above, appropriate measures for adaptation are not fully included in national, sectoral and local policies and plans for the medium- to long-term. Current toolkits available require: i) revisions to consider the contexts of non-LDCs; ii) clarification regarding the role and relation of toolkits; iii) improved applicability through the provision of technical support to non-LDCs; and/or iv) improved availability to non-LDCs.

#### *Ongoing initiatives that contribute to this Component*

Component 2 of the SCCF-financed project will build on the ongoing initiatives listed below.

The **UNEP Programme of Research on Climate Change Vulnerability, Impacts and Adaptation**<sup>31</sup> (PROVIA). PROVIA is a global initiative that aims to provide direction and promote coherence at the international level for research on vulnerability, impacts and adaptation (VIA). The PROVIA Secretariat is currently hosted by UNEP in Nairobi. Launched with the support of leading scientists and decision-makers, PROVIA responds to the urgent call by the scientific community for a more cohesive and coordinated approach to understanding climate change, including the critical need to harmonise, mobilise, and communicate the growing knowledge- base on VIA. PROVIA acts as a new and growing network of scientists, practitioners and decision-makers working towards identifying research gaps and meeting policy needs in climate change vulnerability, impact and adaptation research. Acknowledging emerging policy strategies, new scientific developments and lessons learned from past programmes, PROVIA promises to deliver, in collaboration with its implementing partners, improved coordination of international research on the impacts of and responses to climate change, and provide the credible scientific information that is being increasingly requested by the world's decision-makers. PROVIA has collaborated with the on-going NAP GSP for LDCs and the LEG on supporting VIA for the NAP process. The scope of PROVIA extends beyond supporting LDCs and includes support for non-LDCs. The SCCF-financed project will therefore build upon and employ the PROVIA products relevant to non-LDCs for the purpose of the NAP process. Training material will be developed for the application of PROVIA products. The project will also provide training on PROVIA products through sub-regional and thematic workshops. Furthermore, the lessons learned from the

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<sup>31</sup> While PROVIA is not providing any baseline co-financing, it is an important initiative upon which the SCCF project will build and coordinate.



partnership with PROVIA under the NAP GSP for LDCs will be used to inform the technical capacity building of non-LDCs.

**UNITAR's One UN Training Service Platform on Climate Change (UN CC:Learn)** is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further phase of funding (2014-2017). The proposed SCCF project will build on the knowledge products produced through this initiative, and will provide these products to non-LDCs. The UN CC:Learn platform is contributing with US\$3,000,000 to be used as co-financing for the proposed SCCF project.

**Climate Technology Centre and Network<sup>32</sup> (CTCN) (UNEP)** facilitates the international cooperation, development and transfer of technology for climate change adaptation and mitigation. The SCCF-financed project will build on this initiative by facilitating the exchange of knowledge and skills for adaptation technology. Furthermore, the CTCN could integrate NAP elements into its adaptation portfolio and could then be available to non-LDCs as an additional support mechanism for advancing the NAP process.

As part of the project **Building Capacity for Coastal Ecosystem-Based Adaptation in Small Island Developing States<sup>33</sup>** to build the capacity of Small Island Developing States on ecosystem-based approaches for adaptation to climate change (EBA) with an emphasis on coastal ecosystems, UNEP-WCMC is supporting UNEP DEPI to produce the following guidance materials that are relevant to the NAP process:

- A summary document covering how the UNEP-led EBA Decision Support Framework can support the steps included in the UNFCCC LEG NAPs Technical Guidelines for the NAP process, and introducing how the steps of a coastal and SIDS version of the EBA Decision Support Framework, which aims to help countries choose between adaptation options with EBA in mind, also relate to the NAPs Technical Guidelines. Although the original UNEP-led EBA Decision Support Framework was designed for the sub-national level, elements of the guidance it provides are applicable to the national level.
- A user-friendly coastal and SIDS module of the EBA Decision Support Framework that will provide steps and guidance, principles, options, tools for choosing between coastal adaptation options at the national level, informed by a review of coastal EBA options and associated tools and guidance.
- An introductory manual on implementing integrated coastal EBA options in SIDS and island ecosystems
- Training modules (include for online use) based on the above materials.

These guidance materials, due to be finalized around early 2015, will be presented to non-LDCs to use in advancing with their NAP process, through e.g. the training workshops under Outcome 2.

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

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<sup>32</sup> While the CTCN is not providing any baseline co-financing, it is an important initiative upon which the SCCF project will build and coordinate.

<sup>33</sup> While the project Building Capacity for Coastal Ecosystem-Based Adaptation in Small Island Developing States is not providing any baseline co-financing, tools produced under it is an important initiative upon which the SCCF project will build and coordinate.

At present, non-LDCs do not have sufficient capacity to undertake the steps necessary for extensive and iterative advancing of their NAP process. This is partly because the relevant government institutions and other stakeholders in non-LDCs have limited access to relevant knowledge, lessons learned and good practices on mainstreaming adaptation into medium- to long-term development planning. There are presently few opportunities for South-South and North-South exchanges on advancing the NAP process for non-LDCs. Where partnerships between non-LDC governments and global/regional institutions, networks and platforms that promote such cooperation do exist, they generally: i) do not include knowledge and lessons learned pertaining to the NAP process; and ii) are underutilised. For example, APAN includes a discussion group on engaging and monitoring private sector investment in adaptation. However, non-LDCs have yet to be engaged in this discussion group.

Many of the existing institutions, networks and platforms are broad-based and include countries with a wide range of adaptation priorities. Representatives of non-LDCs<sup>34</sup> recommended the sharing of relevant knowledge through a more focused, sub-regional approach. This would facilitate sharing of lessons learned and experiences between countries with similar geographic and/or socio-economic development contexts. For example, stakeholders from the Marshall Islands identified the Pacific Island Forum as an appropriate platform for sub-regional dialogue within the Pacific region. Similarly, the Micronesia Challenge initiative has also been identified as an appropriate platform to share sub-regional knowledge and experiences on adaptation planning between member states. Furthermore, the number of non-LDCs engaged in communities of practice through the available platforms is limited. This reduces the potential for sharing of detailed information, knowledge, lessons learned, technical skillsets and toolkits relevant to particular themes/regions. For example, REGATTA currently has a number of communities of practice around the following themes/regions: i) Andes; ii) Caribbean; iii) Ecosystem-based Adaptation; iv) Health: MesoAmerica; and v) Southern Cone and Gran Chaco. However, these communities of practice vary in terms of number of participating countries and the degree of participation in the initiative. Consequently, medium- to long-term planning continues in a manner that does not take into account lessons learned from adaptation planning processes elsewhere. Instead, line ministries within non-LDCs conduct planning exercises that are not cross-sectoral, nor based on available knowledge of good practices. As a result, appropriate climate change adaptation interventions are not integrated into new and existing national policies and strategies.

During PPG consultations, countries expressed great interest in learning about the experiences of other countries related to the NAP process. While various platforms exist for sharing information (see section 2.3.1 *Links to Baseline Initiatives*), they are not necessarily tailored enough so that information is: i) specific or applicable to the country's own NAP process; ii) demonstrating the value of NAP to reduce vulnerability; and iii) showcases how challenges such as sustainability and access to finance were addressed. More tailored information is needed, to make these important links.

Consultations also indicated a knowledge gap on how, specifically, the private sector can contribute to national adaptation goals and targets. This can be seen from both sides: the private sector is unaware of opportunities, and government is unaware of how best to incentivize private sector engagement for adaptation. The potential role of the private sector is incredibly relevant, given the challenges countries expressed related to access to finance.

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<sup>34</sup> This was especially highlighted during PPG consultations held with eastern European countries, SIDS and Latin American countries.

Access to finance for adaptation is a critical concern for non-LDCs. Identifying and incentivising private sector investment provides an opportunity to supplement public finance for greater impact in addressing medium- to long- term adaptation priorities. Of the \$224 billion annually invested by the private sector in climate change, only an estimated 6% is for adaptation<sup>35</sup>. This figure however may be understated. Private sector investment in adaptation is difficult to define and therefore difficult to capture. For example, the private sector must make adjustments in order to stay profitable in light of climate change (e.g. investing in climate-resilient crops or adaptation technologies in response to climate-induced reduced crop yield). These adjustments are not necessarily marked as ‘adaptation’, or reported in that manner. Private sector investment in renewable energies, on the other hand, has a more obvious link to climate change mitigation and can therefore be more easily tracked.

#### *Ongoing initiatives that contribute to this Component*

The NAP Central<sup>36</sup> is an information system that will serve as the main information platform for supporting the NAP process. It will provide examples and case studies drawn from different countries, and will offer a platform for exchanging experiences, lessons and best practices in the formulation and implementation of adaptation plans. NAP Central is currently under development.

UNEP promotes sharing of knowledge and lessons learned through a number of global and regional networks. The SCCF-financed project will be aligned with these initiatives as described below.

**The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC, AAKNet) (UNEP).** GAN is an umbrella structure that promotes the sharing of knowledge, lessons learned and experiences through regional networks. Exchange of information on climate change adaptation between member countries is facilitated through knowledge platforms, discussion forums and communities of practice. The SCCF-financed project will increase the availability of technical knowledge and toolkits on integration of climate change adaptation into medium- to long-term development planning through GAN and its associated regional networks. Firstly, the regional/thematic working groups established under Output 2.2 will be involved in exchange of experiences through the GAN networks. Secondly, the web-based training material developed under Output 2.3 will be published on these networks. Consequently, all member countries will have increased access to training material on the application of toolkits for advancing the NAP process in non-LDCs. Thirdly, the project will develop systems for dissemination of knowledge and information through these networks. These systems will include a LISTSERVE and newsletter for member countries as well as additional forums to promote discussion. Lastly, the existing communities of practice on these networks – such as those under REGATTA – will be strengthened to address needs related to advancing the NAP process in non-LDCs. New communities of practice will be established and existing communities of practice will be supported to promote the sharing of knowledge and lessons learned within regional/thematic discussions. GAN will provide US \$550, 000 to the proposed SCCF project over 2015.

Further support is provided by the **West Asia Regional Network on Climate Change (WARN-CC)**. WARN-CC was established in 2010 with start-up funding by the Swedish

<sup>35</sup> Landscapes of Climate Finance 2013, Climate Policy Initiative

<sup>36</sup> [http://unfccc.int/nap/guidelines\\_main.html](http://unfccc.int/nap/guidelines_main.html)

International Development Cooperation Agency (SIDA), to help build institutional and human resource capacities in the region to address the challenges of climate change. It aims to enhance capacities to integrate climate change into national development and to formulate and implement national climate change programmes, through mobilizing knowledge, technology and resources. WARN-CC covers the areas of climate change mitigation, adaptation, technology and finance. A core network of national climate change focal points has been established and a study of the networking of mitigation and adaptation technology centres in the region was conducted in 2011. The regional network is developing and expanding in terms of its membership, thematic focus, and the regional and sub-regional knowledge hubs involved. The network aims to focus its work through the initiation of three “Practice Groups”, for adaptation, mitigation and technology topics<sup>37</sup>. Over the period of implementation of the proposed SCCF project, WARN-CC will contribute with US\$50,000 co-financing through a series of training workshops<sup>38</sup> that can support in further disseminating toolkits developed under Outcome 2.

The **Asia Pacific Adaptation Network (APAN)** was established in October 2009 as part of the GAN. Its goal is to build the climate resilience of vulnerable human systems, ecosystems, and economies through the mobilization of knowledge and technologies to support adaptation capacity building, policy-setting, planning and practices in the Asia Pacific Region. APAN aims at generating and sharing knowledge and information to enhance adaptive actions, facilitate application of appropriate knowledge to adaptation programs and projects, support access to adaptation finance mechanisms, and strengthen the capacity of national and local planners, communities, development partners and the private sector for adaptation. Over the period of implementation of the proposed SCCF project, APAN will contribute with US\$100,000 co-financing through promoting the toolkits and training package through its online portal as well as through presenting Asia Pacific work on NAPs through its regional meetings.

The **Regional Gateway for Technology Transfer and Climate Change Action (REGATTA)** provides a platform to help Latin American and Caribbean countries jointly address climate change in a coherent and integrated approach. REGATTA helps countries identify, discuss, and develop new solutions for mainstreaming climate change into national development plans, strategies and policies. The network’s main objective is to strengthen the mobilization and sharing of knowledge on climate change by building associated capacity of key regional, sub-regional and national institutions. The REGATTA online knowledge platform aims to strengthen information exchange among experts and practitioners, and to create a continuously updated inventory of adaptation, mitigation, and technology transfer initiatives in the region. In addition to organizing seminars, workshops and policy dialogues, REGATTA undertakes regional and sub-regional assessments, and has completed studies on regional vulnerability indicators and legal frameworks of adaptation. Pilot projects in countries help to generate knowledge and lessons learnt on mainstreaming adaptation into development planning processes. Over the period of implementation of the proposed SCCF project, REGATTA will contribute with US\$100,000 co-financing through building on workshops at national or regional level (thematic or otherwise) to further disseminate and communicate on the support available to non-LDCs in the LAC region through the GSP as

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<sup>37</sup> <http://ganadapt.org/regional-networks/warn-cc-west-asia>

<sup>38</sup> E.g. Training workshop on climate governance and financing and on Vulnerability Assessment and Adaptation in the Water Sector, as well as input to the development of a Sub-regional adaptation strategy for the Gulf Cooperation Council countries.

well as implementation methods e.g. EbA, in order to emphasize the importance of NAP for long-term planning. In addition the REGATTA platform can be used to further promote NAP-related resources developed under the project in order to improve their accessibility and visibility in the region.

The **LECB Programme** is supporting countries on their CPEIR and other assessments of relevance to the private sector. The Programme is developing private sector analyses for Chile, Mexico, Thailand, Indonesia and Viet Nam. Part of the analyses, will involve setting forth recommendations on how to overcome the barriers to obtain private sector financing for climate change mitigation. Usually these barriers are related to risk-reward relationship of the investment itself of the country's investment environment; low technical capacity levels and a lack of information. Therefore to overcome such barriers, it has been noted that governmental interventions should alter the risk-reward relationship in such a way as to make mitigation technologies more competitive, locally against business-as-usual development options/technologies.<sup>39</sup> The experience of LECB, demonstrates that engagement of the private sector will also help build the capacities and technical expertise of the "team" that is leading the design of GHG mitigation programmes and their integration in national priorities. The private sector analysis methodology to be used is being developed through Oxford Consulting Partners, with a draft expected by end-2014. There are opportunities to build on this work of the LECB Programme to include climate change *adaptation* entry points in the private sector analyses being carried out in LECB countries. For further details on the project, see the description under the baseline analysis of Component 1.

The **Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)** project will conduct advocacy and knowledge sharing on NAPs. This will enhance the exchange on integrated climate change risks and adaptation measures (adaptation plans) nationally, and thus South-South cooperation. The evidence-based approach employed by the project speaks to the desire expressed by countries for proven, tested approaches to addressing climate change, employed by countries in similar development situations and with similar climate change challenges. There is an opportunity to expand of the scope of dissemination of such knowledge beyond the scope of countries targeted by the BMUB project. For further details on the project, see the description under the baseline analysis of Component 1.

Efforts to formalise private sector investments in climate change adaptation, is a goal of the **Japan-Caribbean Climate Change Partnership** project which seeks to develop public-private partnerships to promote adaptation and technology transfer. Lessons learned and best practices will be shared through forums, bringing together representatives of Government, private sector, regional and international organisations. This is critical to addressing the need for more experiences of how countries could engage the private sector to more effectively adapt to climate change. As these experiences would benefit not only NAP formulation and implementation in the Caribbean, there are opportunities for South-South Cooperation by further sharing this information to other regions. For further details on the project, see the description under the baseline analysis of Component 1.

### **Addressing a dynamic baseline scenario in the future**

In the context of global support programmes it is important to recognise that whatever baseline scenario is noted at the inception of a project, is subject to change quickly and

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<sup>39</sup> [http://www.lowemissiondevelopment.org/docs/Private\\_Sector\\_LEDs\\_and\\_NAMAs\\_r2.pdf](http://www.lowemissiondevelopment.org/docs/Private_Sector_LEDs_and_NAMAs_r2.pdf)

dramatically. In the case of this project, the list of initiatives above are by no means exhaustive to the present or near-future baseline scenario. Under-way initiatives from development partners, donors, multilateral funds, NGOs, etc., will continue to modify the space of ongoing support for developing country parties to advance their NAP processes (or similar themes, such as: improving country systems to better absorb climate change finance; climate change tracking and coding in national and subnational budgets, CPEIRs, integrating climate risks, scenarios and opportunities in development plans at the national and subnational levels, etc.). Moreover, as the Green Climate Fund (GCF) continues to progress in its full operationalisation, further support to eligible countries on “readiness” activities can also be expected, which are clearly in line with development of NAPs (for climate change adaptation finance eligibility, at least). It is for this reason that, during the implementation of this programme UNDP and UNEP will ensure that proactive efforts and robust mechanisms are in place to enhance coordination with ongoing and new-coming initiatives. This coordination must involve *inter alia* the following steps: i) stocktaking of the ongoing and new-coming initiatives and their expected outcomes; ii) identifying entry points for synergies and collaboration; and iii) where appropriate, establishing solid partnerships to provide a seamless, consistent, and congruent support to countries under the different pillars (components) of the SCCF programme.

Finally, UNDP and UNEP recognise that the SCCF-funded programme will operate in a time where, regardless of this programme, countries are likely to escalate and improve their ongoing efforts towards low-emission and climate-resilient development plans, policies and programmes at national and sub-national levels. Some eligible countries under the SCCF-funded programme may therefore count with sufficient capacities to make significant contributions (in-kind, in the form of technical assistance, or as additional finance) to the SCCF interventions aimed at progressing their NAPs. Finally, current and future initiatives from partners mentioned above may also account for significant contributions to the SCCF-funded activities in a given country. All this should be taken into account when establishing the afore-mentioned coordinating mechanism so that, to the extent possible, the additionality of this SCCF programme is maintained in spite of an unavoidable dynamic baseline scenario (current and future).

## 2.7. Linkages with other GEF and non-GEF interventions

The SCCF-financed project will collaborate with and build on the lessons learned from a range of related initiatives and bodies such as the Adaptation Committee and LDC Expert Group (LEG) established under the UNFCCC, including those detailed below. These initiatives include a focus on strengthening the capacities of non-LDC to integrate climate change adaptation into medium- to long-term planning.

The **Green Climate Fund (GCF) Readiness Programme** (UNEP and UNDP) is currently in inception phase (with a total budget of Euro 10 million, split among UNDP, UNEP and WRI). It offers needs-oriented support to countries for accessing and using the GCF once it is fully operational. It is implemented by UNDP, UNEP, WRI and the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU). This programme will include: i) specific capacity building programmes in 9 target countries of which 6 are non-LDCs.; ii) the development of national project pipelines on the basis of existing and potential specific national plans and policies; and iii) the development of in-country monitoring tracking systems for climate finance and its effectiveness, together with feeding back shortcomings identified with GCF processes to support the work of the GCF board. The programme is currently working with stakeholders in each country through scoping missions to develop a

readiness plan which will be based primarily on an assessment of capacities around the pillars of climate finance readiness. Given the concerns expressed by countries related to access to finance, the SCCF project will ensure close collaboration with this programme.

The LDCF-funded ***Assisting least developed countries with country-driven processes to advance National Adaptation Plans*** project seeks to strengthen technical capacities of LDCs for preparation of NAPs, building on their National Adaptation Programmes of Action (NAPAs). This project had a planned end date of 2015, however, additional resources have been requested from the LDCF for expanded support, under the *Expanding the support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)* project.

*The Building capacity for LDCs to participate effectively in intergovernmental climate change processes* project, also funded by the LDCF, seeks to strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts. Both projects are implemented by UNDP and UNEP. Together with the SCCF-financed project, these projects make up a programme of support to countries to enhance adaptation planning at the country level, as well as build the capacity of negotiators, which will improve access to knowledge, and potentially access to climate finance.

Additionally, the GEF-funded Global Support Programme for the Preparation of National Communications and Biennial Update Repots for non-Annex I Parties under the UNFCCC, jointly implemented by UNEP and UNDP provides institutional and technical support to non-Annex I countries to implement these reporting guidelines upon demand in support of UNFCCC requirements.

UNEP DTU Partnership's *Adaptation Mitigation Readiness Project (ADMIRE)* (2014-2016) will provide international and technical expertise to developing countries to develop NAMAs and NAPs. In particular, the initiative will focus on enhancing private sector engagement and investment in mitigation and adaptation in developing countries through developing sustainable financeable frameworks. To do this, the ADMIRE project invites collaboration with applicants, local experts and national government representatives.

The *UNEP LIVE*<sup>40</sup> portal, launched in January 2014, is a UNEP initiative that offers a dynamic platform to collect, process and share environmental science and research. It provides a single gateway to accessing and locating country-level statistics as well as providing access to Satellite/Space Programmes such as GEOSS Portal, Earthnet Online, USGS Earth Explorer, as well as an *in situ* Programme called Argo. This portal will provide data access to both the public and policy makers using distributed networks, cloud computing, big data and improved search functions with the objective of filling gaps between data providers and consumers. UNEP LIVE will also support streamlining of national monitoring, reporting and verification of data for global and regional environmental goals. The portal includes communities of practice that gather experts in various fields relating to the environment and bring them on a common platform that provides access to discussion and exchange. The SCCF-financed project will build on these communities of practice – such as GEO SIDS and SFP COP – through Output 3.1. In further development of UNEP LIVE, the project will collaborate with UNEP LIVE and present it at the training workshops as a means of accessing up-to-date environmental information and statistics.

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<sup>40</sup> <http://www.uneplive.org/>

Project implementation will be informed by decisions of the Adaptation Committee (AC). The AC was established as part of the Cancun Adaptation Framework, and promotes the planning and implementation of climate change adaptation under the UNFCCC. This is mainly achieved through: i) providing technical support and guidance; ii) knowledge brokering through the sharing of lessons learned, experiences and good practices; and iii) the engagement of national, regional and international networks. The project will engage with the AC under their mandate for supporting adaptation work programmes, in order to assist non-LDCs with the advancement of medium- to long-term planning for climate change. The SCCF-financed project will also seek knowledge sharing through the Technical Executive Committee (TEC) of the AC, for case studies related to adaptation technologies.

The LEG was established as part of the Marrakesh Accords during COP-7. The objective of the LEG is to advise LDCs concerning their preparation and implementation of NAPAs. Subsequent to this, the LEG has been further involved in the development of guidelines for the NAP process in LDCs. It is uncertain at this point if guidelines will be developed which are specific to non-LDCs. However, as the guidelines developed by the LEG for LDCs can also apply to non-LDCs, the SCCF-financed project can benefit from the related lessons learned, and apply the guidelines in non-LDCs, tailoring as necessary to the local context. Additionally the SCCF-financed project will collaborate closely with development partners on related efforts. These include:

#### Deutsche Gesellschaft für International Zusammenarbeit (GIZ)

The Climate Protection Programme for Developing Countries (CaPP) is funded by the GIZ). The tools the programme provides have a thematic focus to support the LEG guidelines on the NAP process. Under this programme, GIZ has developed the Stocktaking for National Adaptation Planning (SNAP) tool. This tool is used to take stock of the planning capacities within a country and thereby identifies a point of departure and entry points for the NAP process. In addition GIZ has developed a NAP country-level training tool organized through a series of modules and aligned with the main elements of the NAP process (as per the LEG Technical Guidelines), which can be used when providing countries with support to address their specific needs. The themes for the tools developed through the CaPP include: i) climatic information; ii) mainstreaming; and iii) mandate/institutional capacities. The SCCF-financed project will build on and promote the GIZ tools – in particular SNAP – through Outcome 2.

#### The World Health Organisation (WHO)

WHO has developed a support platform providing guidance to protect health from climate change through health adaptation planning. This guidance promotes an iterative and cross-sectoral process to integrate the health risks of climate change into the NAP process. The guidance to develop a health component of the National Adaptation Plan includes vulnerability assessments, economic tools, gender, early-warning systems, indicators for health system resilience and other health sector-related NAP guidance. Through Component 2, the SCCF-financed project will promote this guidance as part of a cross-sectoral approach to the NAP process.

#### The Global Water Partnership (GWP)

GWP is implementing a number of programmes that support NAP processes relating to water in non-LDCs, for example the *Strengthening technical skills in Africa to advance NAPs* programme. The SCCF-financed project will build on these programmes through further technical capacity development within the water sector. Furthermore, the GWP has established a number of platforms for knowledge sharing within the water sector. The



Caribbean Water and Climate Knowledge Platform is an example of such a platform. The SCCF-financed project will build on these platforms by publishing knowledge on good practices, lessons learned and case studies from the water sector on these platforms, under Component 3.

#### Food and Agriculture Organisation (FAO)

Through *FAO-Adapt*, FAO is promoting medium-to long-term adaptation in agriculture, fisheries and forestry. FAO provides information and technical guidance – including access to a network of technical experts on genetic resources for food and agriculture – for non-LDCs to undertake the NAP process and integrate appropriate knowledge into their NAPs. The SCCF-financed project will work closely with the FAO to leverage this information, knowledge and technical expertise to promote medium- to long-term adaption in non-LDCs. For example, efforts will be made to feed relevant knowledge into, and draw relevant knowledge from, dedicated knowledge and programming initiatives undertaken by the FAO on climate smart agriculture.

#### International Fund for Agricultural Development (IFAD)

IFAD's Adaptation for Smallholder Agriculture Programme (ASAP) – funded by the International Fund for Agricultural Development (IFAD) – was launched in 2012 to use climate and environmental finance for improve smallholder farmers' access to technical information and tools. ASAP has a 300 million US\$ multi-year and multi-donor financing window, providing a new source of co-financing to scale up and integrate climate change adaptation across IFAD's approximately US\$1billion per year of new investments. These investments include: i) strengthening structural robustness of processing facilities and access to markets, small water-harvesting infrastructure, flood protection measures, rural water supply, water storage facilities (over and underground) and water-use efficient irrigation systems; ii) investments in natural infrastructure such as improved resilience of riparian areas; and iii) investments in 'software' such as the development of knowledge, data and decision support tools on climate resilient cropping systems, adaptation policies, institution building at relevant levels, establishment of farmer associations, enhanced institutional capacities and accountability systems, and disseminating knowledge on climate-smart agriculture into national planning processes (i.e. poverty reduction strategies, agricultural policies, climate change policies). Similarly to the FAO, the SCCF-financed project will expand and disseminate the information, knowledge and technical guidance provided by IFAD, under Component 3.

#### UNITAR

The objective of the *Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation* project (C3D+) is to strengthen the capacities of Non-Annex I countries and other institutions to address climate change through developing adaptation measures and planning mitigation strategies. To achieve this objective, C3D+ develops and tests tools and methods for developing countries to mainstream adaptation in planning processes.

In addition to the Global Adaptation Network (GAN) initiatives (see Section 2.6), the SCCF-financed project will build on the following initiatives to improve knowledge sharing and promote South-South and North-South cooperation on medium-to long-term adaptation planning:

- UNEP's African Ministerial Conference on the Environment (AMCEN) is a forum which convenes every second year – provides African countries advocacy for environmental

management as well as guidance on political events relating to environmental management.

- The Secretariat of the Pacific Community (SOPAC) Applied Geo Science and Technology Division has the objective to apply geoscience and technology to promote development and data-driven adaptation within Pacific Island countries. The Division provides assistance to member countries through the following technical programmes: i) Oceans and Islands Programme; ii) Water and Sanitation Programme; and iii) Disaster Reduction Programme. Technical support is provided across member countries that promote South-South and North-South cooperation on technical themes, including natural resource economics, GIS and remote sensing, technical equipment and services and data management.
- The Caribbean Community (CARICOM) Secretariat promotes the achievement of a number of economic development goals. Among other objectives, the secretariat improves knowledge sharing in the Caribbean region. Therefore, the SCCF-financed project will build on CARRICOM similarly to SOPAC.
- The Forum of Ministers of Latin America and the Caribbean is a forum which convenes every year – provides advice to countries in the LAC region on advocacy for environmental management as well as guidance on political events relating to environmental management.
- The International Centre for Climate Change and Development (ICCCAD) supports growing capacity of Bangladesh stakeholders, while enabling international stakeholders and organisations to benefit from training in Bangladesh, where they can be exposed to the climate change adaptation and increasing knowledge from this emerging field. Through the expertise of ICCCAD and its local partners, international organisations will be exposed to relevant and grounded knowledge that can be shared and transmitted around the world for the benefit of other LDCs and their governments, donors, and international non-governmental organisations (NGOs). Courses typically run for seven days in Bangladesh; 25 participants (similar backgrounds and expertise but different nationalities, particularly Asia and Africa) receive training from three international resource people. ICCCAD has piloted this model in a “mobile” modality in Africa (tailoring the workshops’ topics to region-specific needs and challenges), and is exploring conducting it in other countries in the future. During the preparatory phase of the SCCF-financed project, piloting a mobile modality of the ICCCAD initiative to existing networks – in Africa and Asia in particular – will be further explored.

### **SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)**

#### **3.1. Project rationale, policy conformity and expected global environmental benefits**

In response to the invitation at COP-17, made to UN agencies and other organizations in considering the establishment of support programs to advance the NAP process, the GEF Secretariat – in collaboration with non-LDC Parties and its Agencies – has considered options for a GSP for national adaptation planning in non-LDCs that have yet to address longer-term adaptation needs systematically.

Given the predicted effects of climate change, there is an urgent need to enhance the capacity of non-LDCs to adapt to these effects in the medium- to long-term. This can be addressed by strengthening institutional and technical capacity in non-LDCs, where needed, to implement interventions that improve climate change management and planning processes, leading to appropriate behavioural changes as well as adoption of soft and hard

adaptation technologies across sectors. This capacity-building support should be provided within the context of sustainable development, at both national and sub-national scales.

The SCCF-financed project will provide **institutional and capacity development support** to non-LDCs. It will assist countries to conduct stocktaking activities to identify key gaps and entry points for the NAP process. Capacity needs will be addressed through targeted support. Integration of climate change into planning requires coordination and cooperation across sectors. Training therefore will include participants from planning and line ministries, in particular. This training will focus mainly on the economics of climate change and financing options to address the concern of access to finance expressed by non-LDCs. National institutional mechanisms for coordinating the NAP process will be strengthened through the identification and facilitation of dialogue between key line ministries and institutions. These strengthened institutional mechanisms will consequently be able to facilitate a multi-level, cross-sectoral NAP process. Fostering coordination among different line ministries will also help to identify and align adaptation programmes with other relevant on-going and planned initiatives pertaining to national planning and budgeting. Finally, the SCCF-project will support the development of NAP roadmaps<sup>41</sup> particular to participating non-LDCs to guide the integration of the NAP processes into existing planning and budgeting. These interventions will be done in coordination with other donor-supported capacity development programmes.

The SCCF-financed project will provide **technical support and capacity development** to non-LDCs to support key steps in the NAP process. These steps include *inter alia* conducting vulnerability analyses, accessing and applying climate information and integrating adaptation into sectoral planning as requested by non-LDCs during stakeholder consultations. The project will promote the adoption and application of tools, methods, guidelines and their supplements relating to key steps in the NAP process. To build on and complement – rather than duplicate – other relevant support provided to non-LDCs, the project will draw on, synthesise, adapt and make available relevant existing tools, methods, guidelines and their supplements as well as developing new ones as needed. Examples of such existing tools, methods, guidelines and their supplements created by partner organisations, aligned initiatives and baseline projects will be used, including those developed by WHO, GIZ, LEG and PROVIA. National staff from key ministries – in particular, planning, finance and environment – will receive technical training on the application of tools, methods, guidelines and their supplements to guide key steps in the NAP process. Training will take place through sub-regional and thematic workshops as specified by participating non-LDCs as well as through online platforms. Working groups will be established to provide ongoing technical support and collective learning through South-South cooperation.

To **enhance networks and partnerships for knowledge dissemination**, the SCCF-financed project will promote South-South and North-South cooperation. The project will establish knowledge and information systems to be housed on existing platforms, such as those of GAN. These systems will disseminate knowledge and information generated by the project such as case studies of piloted projects, summarised discussions from working groups and online training material. The project will work towards creating synergies with ongoing initiatives – such as the NAP GSP for LDCs – to streamline and centralise

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<sup>41</sup> Under the LDCF funded NAP GSP, a few countries (notable examples include Malawi, Bangladesh and Cambodia) have been supported to kick off their NAP process by producing an initial roadmap. It should be noted that all countries have a slightly different view as to what a roadmap should constitute in light of their national circumstances and institutional set-up.

knowledge, information and lessons learned on the NAP process. Communities of practice will also be established to promote the sharing of knowledge, information and lessons learned among non-LDCs with similar adaptation priorities and challenges. The project will also pilot public-private partnerships in participating non-LDCs. These pilot projects will serve as case studies on engaging the private sector in medium- to long-term adaptation.

A strongly country-driven approach will be necessary to develop the requisite capacity for advancing medium- to long-term adaptation planning in non-LDCs. This will depend on the national circumstances in each non-LDC in terms of *inter alia*: i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) support already extended by bi- and multi-lateral initiatives to support climate-resilient development at the national, sectoral and local level. The SCCF-financed project will work with countries in a flexible manner, taking into account their specific needs and circumstances. For example, it will be necessary to take stock of on-going, country-driven initiatives – including those financed by bi- and multi-lateral entities – that support medium- to long-term climate resilient planning and budgeting. Furthermore, information gaps, capacity requirements, priority needs and other inputs to advance deliverables will need to be identified early on in respective countries' NAP processes. All project intervention will need to take existing and planned climate-resilient development priorities into account, as well as activities falling under existing development plans.

National and sub-national stakeholders will be mobilised and encouraged to take ownership of the NAP process right from its inception. Lessons learned from previous experiences show that it is essential to not only engage high level leadership from the beginning, but also to clarify the roles and responsibilities of each stakeholder, particularly if the support is to be cross-cutting and ensure integration into existing development plans and budgets. Potential partnerships with national, regional and global institutions will be identified and established, with a view to providing technical support to the transitioning process. The scope of engagement for such stakeholders will be clearly defined during the programme's inception, based on country needs.

Countries will be supported in their efforts to carefully design the institutional and coordination arrangements necessary for planning and implementing climate change adaptation, which will also feed into the NAP process. In this regard, it will be important to recognise that climate change adaptation goes beyond the domain of ministries of environment. National coordinating bodies, notably ministries of finance and planning, will need to engage in the NAP process from the beginning of the programme.

The SCCF project strategy adheres to NAP guidance provided by the UNFCCC, and reflects the needs expressed by non-LDCs. Parties to the UNFCCC have defined a NAP as a "continuous, progressive and iterative"<sup>42</sup> process to enable parties to identify, implement and communicate their vulnerabilities and adaptation actions at the national, sectoral and local levels as well as within the international, multi-lateral process of the Convention.

At COP-17 (Durban), Parties established the NAP's objectives, namely: i) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and ii) to facilitate the integration of climate change adaptation in a coherent manner into new and existing policies, programmes and activities. The NAP objectives pertain particularly to

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<sup>42</sup> From the submission by the United States of America.

development planning processes and strategies within all relevant sectors and at different levels, as appropriate<sup>43</sup>. To achieve this, non-LDCs expressed a need for additional support from a GSP. In Durban, the modalities of support and financial arrangements were also decided upon. These modalities of support include:

- technical guidelines for NAPs;
- workshops and other training meetings;
- training activities;
- regional exchanges;
- syntheses of experience, good practices and lessons learned;
- technical papers; and
- technical advice.

## **Policy Conformity**

### SCCF conformity

The SCCF-financed project is consistent with the SCCF mandate to support adaptation in all vulnerable developing countries.

Country-driven and participatory approach: activities to be undertaken by the project were developed and selected through numerous stakeholder consultations (see Section 2.4 and Annex 20). A country-driven approach will promote the development of the requisite capacity for advancing medium- to long-term adaptation planning. Support from the SCCF project will therefore be guided by national circumstances in each non-LDC in terms of *inter alia*: i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) national investments as well as support already extended by bi- and multi-lateral initiatives to enhance climate resilient development at the national, sectoral and local level.

Supporting a learning-by-doing approach: the project will promote the sharing of lessons learned during project processes through climate change networks under Component 3. This will further improve capacity development by promoting the current and future exchange of knowledge and experience among non-LDCs.

Multi-disciplinary approach: the interventions of the SCCF-financed project require expertise from various disciplines. These include international relations, climate change finance, and technical disciplines such as meteorology and hydrology.

### Gender considerations

Despite their capability to innovate and lead, women have historically been marginalised from local and national decision-making processes, particularly in developing countries<sup>44</sup>. Such exclusion creates a risk that women's particular needs are not captured in planning. It is therefore important to identify gender-sensitive strategies to ensure that women are included in medium- and long-term adaptation planning to improve their resilience and capacity to adapt to climate change. This is particularly important as climate change affects men and women in different ways. Lower average income, access to education and access to

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<sup>43</sup> FCCC/CP/20110/97/Add.1

<sup>44</sup> Denton, F. (2002). Climate change vulnerability, impacts, and adaptation: Why does gender matter? *Gender & Development*, 10(2), 10–20. doi:10.1080/13552070215903.

employment compared to men<sup>45</sup> lead to a limited capacity of women to adapt to climate change. The UNFCCC recognises that women have a major role to play as agents of change at different levels of the adaptation process. The SCCF-financed project is aligned with this, and understands that gender equality is a prerequisite for sustainable development.

The SCCF-financed project will mainstream gender equity through the approaches described here.

- Gender-disaggregated indicators and targets were integrated in the results framework of the project at the PPG phase.
- Stakeholder consultations during the project implementation phase will be gender balanced;
- Training sessions and workshops will be delivered with gender sensitivity to ensure that: i) both male and female participants are empowered to participate meaningfully in the trainings; and ii) all participants are made aware of their responsibility to respect the views of all of their colleagues during training sessions. Trainers will be required to have the skills and experience necessary to plan and facilitate gender-sensitive training.
- Knowledge generated by the project will be consolidated into gender-responsive publications, language and messages, ensuring sensitivity towards differences among target audiences.
- The SCCF-financed project will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.

Gender disaggregated indicators will be reported on during monitoring and evaluation (M&E) of the SCCF-financed project. The Technical Support Unit (TSU) will be responsible for monitoring and reviewing gender sensitivity in the project activities and the application of gender-disaggregated indicators. In addition to gender, the project will also ensure that the needs of other vulnerable groups as the elderly, youth, children and less-abled will be prioritised.

#### Overall GEF conformity

The proposed SCCF project meets overall GEF requirements in terms of implementation and design.

- Sustainability: enhancing technical and institutional capacities of the non-LDCs are priorities of the project. The sustainability of capacitating interventions will be promoted through long-term training and knowledge sharing mechanisms. For further details see Section 3.8.
- Replicability: the SCCF-financed project will systematically document the activities, decisions, strategies, results, lessons learned and guidelines so that they can be used for the design and implementation of future projects. This documentation will enable the development of a robust planning framework in conjunction with stakeholder participation. For further details see Section 3.9.
- Monitoring and Evaluation (M&E): the project design includes an M&E framework. This framework will be used to measure the indicators of the proposed design. Lessons learned will be documented and disseminated.

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<sup>45</sup> Lambrou, Y., & Piana, G. (2006). Gender: the missing component of the response to climate change. Food and Agriculture Organisation, Gender and Population Division.

- **Stakeholder Involvement:** the project design was developed through extensive stakeholder consultation. The stakeholders' involvement in the project will be clearly defined and signed off by each stakeholder group during the initial phases of project implementation. For further details see Section 2.5 and Annex 20.

### 3.2. Project goal and objective

The **goal** of this LDCF programme is to facilitate effective medium- to long-term planning for adaptation to climate change in non-LDCs. The objective of the project is to **strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.**

### 3.3. Project components and expected results

The capacity of non-LDCs to undertake iterative and comprehensive national adaptation planning in the medium- to long-term is constrained by various factors. These include *inter alia*: i) ineffective mechanisms for cross-sectoral communication; ii) limited technical capacity to undertake the necessary economic and other assessments and apply the available information and toolkits to inform medium- to long-term planning; and iii) limited access to knowledge and lessons learned on integrating climate change adaptation into medium- to long-term planning. As a result of the abovementioned constraints, non-LDCs have a limited capacity to adequately respond to the negative effects of climate change. Through the components and outcomes described below, the SCCF-financed project will support non-LDCs to advance their NAP processes by strengthening institutional and technical capacities as well as improving access to knowledge and lessons learned on adaptation planning through improved North-South and South-South collaboration.

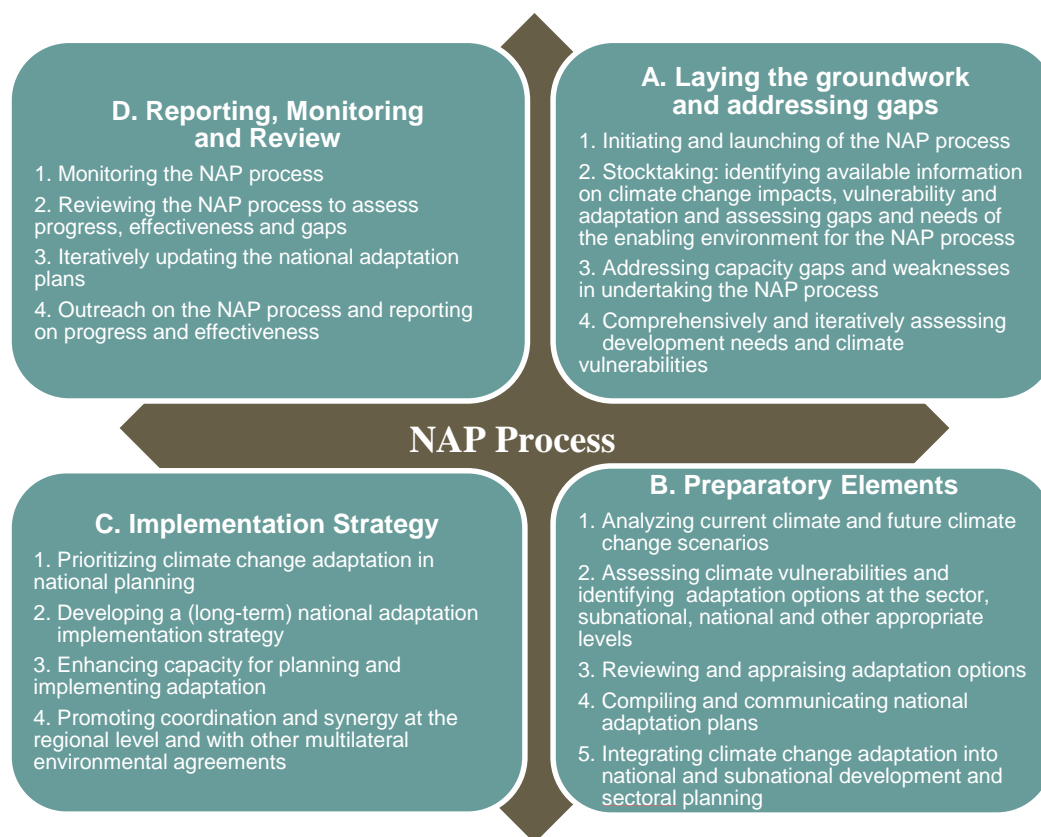
#### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

##### *Adaptation alternative*

This component, overseen by UNDP will focus on in-country support. Assistance will be provided to countries based on demand, and will consider country priorities representing different stages of the NAP process. Consistent among consultations was the need for flexibility in the NAP process so that preferred approaches to addressing climate change continue. This is consistent with COP guidance which states that NAPs should not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action<sup>46</sup>. This outcome is therefore designed so that countries can receive support that is tailored to specific needs in the context of their respective NAP processes. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee's NAP Task Force to match NAP support to country needs.

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<sup>46</sup> Decision 5/C p .17, paragraphs 3 and 4



**Figure 2: NAP Process<sup>47</sup>**

In response, this outcome seeks to support countries through: i) taking stock of information and processes of relevance to the NAP and identify gaps; ii) providing technical training to address those gaps; and iii) providing support towards developing country-specific NAP roadmaps.

For countries requesting support from the GSP to advance the NAP process, a stocktaking is needed to take inventory of existing planning documents, highlight potential entry points for the NAP process, and identify capacity gaps that need to be addressed in order to integrate climate change into medium- and long-term planning. As stated above, there are ongoing related efforts that could be built upon to either expand their scope (i.e. successful sectoral/sub-national plans) or revise the vision towards the longer term. Efforts include identifying or revitalizing national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead (e.g. UNFCCC focal point), and identify key stakeholders. Representation in the national team should include national, subnational, and community level, as well as, where appropriate development partners, academia, and the private sector.

Non-LDCs have more limited access to donor and vertical climate funds. It is not surprising therefore that access to finance and related training were key concerns raised by countries during consultations undertaken during the PPG phase. For this reason, training available through this outcome is focused on economics and finance. Training will be made available

<sup>47</sup> Guidelines for LDCs (LDC Expert Group, 2012)



on cost-benefit analysis, innovative financial schemes and developing bankable projects. Where possible, training will be delivered through small in-country workshops promoting inclusion of participants of various sectors.

Given the complexity of the subject matter, it is important that the training material is made available for a longer period of time, in a place where it is accessible, to ensure sustainability. As part of PPG activities, discussions were initiated with universities in countries where the ECCA programme is active (e.g. the University of Peradeniya in Sri Lanka) and learning institutions (e.g. United Nations University (UNU)) to shape the available ECCA programme training materials into a 2-week course publically available to government staff. Like the ECCA programme, the 2-week course would be focused and tailored to provide government staff with the knowledge and skills needed to use economic analysis to inform decision-making related to adaptation planning. SCCF funds will be used to further pursue this initiative, developing the needed course materials and formalizing the course in the learning institutions. Training materials will also be made available online so that training participants can revisit the material or so that new interested government staff can explore topics based on their availability and at their own pace.

Steps and support needed by countries to advance the NAP process may exceed the remit or timeframe of the SCCF project. In such cases, SCCF funds will be used to support countries in developing a NAP roadmap. The roadmap will highlight the necessary activities, costs, and timeline to develop, implement, monitor, review/evaluate and report on the NAP process. The roadmap will also identify potential financial resources for addressing these needs, including public and private finance.

For the implementation of Component 1, the SCCF programme will build on and complement the successes of the ECCA, LECB, BMUB, and *Japan-Caribbean Climate Change Partnership* projects through: i) capturing adaptation needs and related budget considerations; ii) including technical training relevant for supporting medium and long-term planning for adaptation; and/or iii) further applying best practices and lessons learned to other countries and regions. Importantly, UNDP will stay abreast of developments by partners related to NAP support throughout project implementation to ensure collaboration and complementarity.

### **Outputs and Indicative Activities**

The outputs and activities, detailed below, follow a sequence. While it is possible that a single country benefits from all three outputs, the outcome is designed in a way so that outputs can be delivered to countries separately. Support available to countries can therefore be tailored to specific country needs and to the particular country's stage in the NAP process. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee's NAP Task Force to match NAP support to country needs.

Given the budgetary and time constraints of the SCCF project, and the large number of non-LDCs, it will be important to focus in-country support. Support to countries will be based on demand, and will consider country priorities representing different stages of the NAP process. During the inception phase of the project, UNDP and UNEP will announce a "call for

technical assistance” from eligible countries to this programme<sup>48</sup>. Requests will be tracked in an online repository and made available online in the project’s website. Capitalising on the successful and long-standing partnership that UNDP and UNEP have built for supporting NAPs with other UN Agencies, NGOs, bilateral donors, etc., each request will be reviewed in collaboration with the partners, so that the appropriate expertise and support are identified and delivered in a timely and cost-effective manner.

*Output 1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified*

A successful approach employed by the LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, includes a team of international and local expertise to provide in-country support. Expertise of the team members may vary reflecting the needs of the country. UNDP’s roster of experts may be used to identify international expertise. Consultations with the country, with support from the UNDP Country Office as necessary, will help identify local expertise.

- 1.1.1. Revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders
- 1.1.2. Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process
- 1.1.3. Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels
- 1.1.4. Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalized on and weaknesses that need to be strengthened)
- 1.1.5. Document the results of various stakeholder consultations so that countries can build and act upon priorities

*Output 1.2. Institutional coordination and financial arrangements are strengthened/established to support NAP process*

Integration of climate change into planning requires coordination and cooperation across sectors. Training therefore should include participants from planning and line ministries. As stated above, the training made available through this output is focused mainly on economics and finance – to better prepare countries to access and manage climate finance (i.e. public, private, or development assistance).

- 1.2.1. Identify key national and sub-national institutions relevant to the NAP process
- 1.2.2. Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP
- 1.2.3. Provide in-country training on identified needs, including:

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<sup>48</sup> As stated above, developing countries, which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

- Applying the LEG guidelines on NAPs in local contexts
- Conducting project and sectoral level cost-benefit analysis to identify economically-efficient and sustainable adaptation options, including web-based courses, as well as housing training materials in local universities and/or learning institutions (e.g. UNU)
- Introduction of principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.)
- Techniques of designing/developing bankable projects

*Output 1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.*

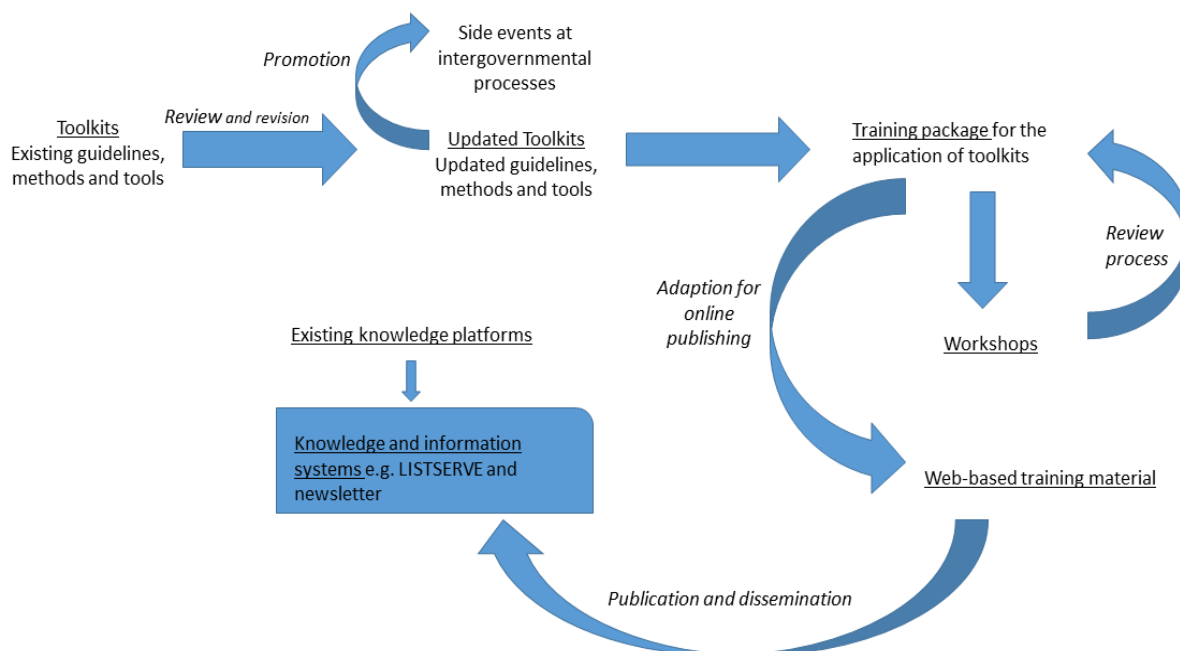
Where support needed by selected countries exceeds the scope and/or timeframe of the project, SCCF funds will be used to assist countries in developing a NAP roadmap. This will detail steps and support needed by countries to advance the NAP process by outlining the necessary activities, budget and timeline to develop, implement, monitor, review/evaluate and report on the NAP process. The roadmap will also identify potential resources including use of public finance as a means of catalysing private finance.

- 1.3.1. Facilitate the conduct of stakeholder consultations to draft and finalize country-specific NAP roadmap
- 1.3.2. Support the formulation of the country-specific NAP roadmap, including requirements for reporting (in line with LEG technical guidelines in local contexts)

## **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

### *Adaptation alternative*

Under Component 2, support will be provided to non-LDCs to access an improved package of toolkits to inform a comprehensive and iterative NAP process. These toolkits, some of which have been primarily developed for LDCs but may also be applicable to non-LDCs, will cover topics such as: i) development and application of climate scenarios; ii) vulnerability and risk assessments; iii) cost-benefit analyses of adaptation interventions; iv) Climate Public Expenditure and Institutional Reviews (CPEIRs); and v) financial costing of adaptation interventions. The project will seek the possibility of improving and adjusting the existing tools for the non-LDC context. The project will enhance access to training and knowledge on the application of toolkits for the NAP process by: i) reviewing and updating the current available toolkits; ii) promoting the use of the revised toolkits; ii); ii) developing a training package – including training material – for non-LDCs to apply the toolkits; and iii) promoting knowledge sharing on the application of the toolkits across sectors within non-LDCs. This will enhance the capacity of non-LDCs to undertake the NAP process through improving the availability and awareness of the toolkits as well as increasing national stakeholders' technical skills to apply the toolkit to inform medium- to long-term adaptation planning. Please see Figure 3 for a schematic view of how the toolkits will be developed and used to enhance medium- to long-term planning for climate change adaptation.

**Figure 3: Review, development and application of toolkits to support the NAP process**

*Output 2.1: Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.*

At the start of the project, the current suite of available toolkits for medium- to long-term adaptation planning will be reviewed to identify: i) gaps in the themes relevant for non-LDCs; and ii) limitations in the availability and applicability of toolkits to non-LDCs. On the basis of this review, the existing toolkits will be updated to address limitations in their availability and applicability to non-LDCs. Where thematic gaps are identified, new toolkits will be developed. Additionally, toolkits will be translated into at least 6 languages<sup>49</sup> to promote their application across non-LDCs. Existing toolkits and supplements to be reviewed and promoted include *inter alia*:

- PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;
- the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;
- UNFCCC LEG Sourcebook on the NAPs (currently under development)
- sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;
- relevant tools/guidance developed under the NAP GSP for LDCs (e.g. PROVIA user companion: Supporting NAP development with the PROVIA guidance);
- GIZ Smart National Adaptation Planning Tool (SNAP) and National Adaptation Plan country-level training; and
- tools/guidance on M&E/MRV, Loss & Damages, CPEIRs, climate finance readiness, etc.

<sup>49</sup> Indicative languages include: English; Spanish; French; Russian; Arabic and Portuguese.

The use of existing and new toolkits will be promoted<sup>50</sup> at inter-governmental processes for climate change – e.g. UNFCCC events – as well as through the knowledge and information systems established/further developed in Output 3.1. To promote the use of the toolkits for advancing the NAP process, a technical training package on application of the toolkits will be developed. This package will include training material on the updated/developed toolkits. Furthermore, the technical training package will be informed by: i) the lessons learned on training from the NAP GSP for LDCs; ii) the technical support provided in Component 1; and iii) feedback from thematic workshops in Output 2.2.

The activities to be implemented under Output 2.1 are:

- 2.1.1 Undertake a stocktake and gap/needs assessment of tools, methods, guidelines and their supplements to support non-LDCs to advance the NAPs process.
- 2.1.2 Develop new or adapt existing tools, methods, guidelines and supplements where necessary following the findings from the needs assessment for non-LDCs to follow NAP guidelines.
- 2.1.3 Promote the use of new and existing tools, methods and guidelines and their supplements through intergovernmental processes (e.g. side events at SBIs/SBSTAs) and the knowledge and information systems established through Output 3.1.
- 2.1.4 Develop a training package for non-LDCs – including training material – for supporting non-LDCs to advance their NAP process using new and existing tools, methods, guidelines and their supplements as well as lessons learned from NAP GSP for LDCs and implementation of one to one support from Component 1.

*Output 2.2: National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.*

To train national technicians to apply the toolkits from Output 2.1, the project will establish thematic/sub-regional working groups across non-LDCs. These working groups will facilitate exchange of experiences to share knowledge, lessons learned and best practices on the application of the toolkits from Output 2.1. Thematic working groups will focus on experiences across non-LDCs related to particular sectors. Indicative themes include: i) climate-related risks e.g. sea-level rise (SLR), floods, cyclones, drought; ii) the application of particular tools e.g. cost-benefit analyses, vulnerability and impact assessments; and iii) sector-specific themes e.g. water, agriculture, health. Sub-regional exchanges will also be organised to focus on the application of the toolkits within countries with similar adaptation priorities. For example, non-LDCs from West Asia with similar arid climates could exchange experiences on adaptation interventions in the water sector. As another example, SIDS could exchange experiences on adaptation interventions with relation to disaster risk management. These sub-regional exchanges will also provide a platform for coordinated adaptation planning within cross-border areas e.g. the Ganges-Brahmaputra-Meghna river basin or Mekong river basin.

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<sup>50</sup> The revision and promotion of these methods and tools complement Activities 10 and 11 of the Adaptation Committee workplan: “Establish an *ad hoc* group, in collaboration with relevant organizations and experts, to work on modalities and guidelines for NAPs for non-LDC developing countries for consideration by the Adaptation Committee at its second meeting” and “Further consider developing modalities and guidelines to support non-LDC developing countries in the planning, prioritization and implementation of national adaptation planning measures”, respectively. The guidelines and tools can also be promoted through Activity 12 of the Adaptation Workplan “Establish a database or clearing house type mechanism for information related to national adaptation planning”.

Thematic and sub-regional working groups will exchange experiences online through the communities of practice established/enhanced in Output 3.1. Knowledge generated and good practices that emerge from the application of toolkits will be relayed through the working groups to national- and local-level stakeholders in non-LDCs across relevant sectors. To further develop technical capacity, sub-regional or thematic workshops will be held to provide formal training along similar themes to those identified for the working groups. Where workshops provide training on the toolkits for medium- to long-term adaptation planning, the training package developed in Output 2.1 will be used. National stakeholders – in particular those from the relevant working groups – will attend these workshops. These national stakeholders will serve as champions for the NAP process and will work to garner support for the NAP process from other national and local-level stakeholders in their respective countries. The proceedings from the workshops will be disseminated to national and local-level stakeholders in non-LDCs. The workshops will also include a review process. This will encourage attendees to provide feedback on the practical application of the toolkits. These reviews will be used to inform the training package developed in Output 2.1. The review process will facilitate an iterative and adaptive approach to further refining the training package.

The activities to be implemented under Output 2.2 are:

- 2.2.1 Establish thematic/sub-regional ‘working groups’ across non-LDCs to attend exchange of experiences to promote South-South cooperation.
- 2.2.2 Organise at least 10 sub-regional<sup>51</sup> or thematic workshops on the application and use of tools, application of methods, and NAP guidelines<sup>52</sup> and relevant elements of the Adaptation Committee work programme using the training material developed in Output 2.1.4.
- 2.2.3 Review the feedback from thematic workshops’ participants to develop recommendations for future training and feed them back to the training package.

*Output 2.3: Web-based training materials prepared for use by countries as they commence their respective NAP processes.*

The project will develop appropriate, applicable and accessible training material on the NAP process for non-LDCs to access online. To support coordinated training, the training package – developed in Output 2.1 and applied in Output 2.2 – will be adapted to be suitable for dissemination through web-based media. This training material will be shared through the knowledge and information systems established in Output 3.1. Furthermore, to improve the applicability of the toolkits and training material, it will be updated through an iterative approach, based on attendees’ feedback from the sub-regional and thematic workshops in Output 2.2.

The activities to be implemented under Output 2.3 are:

- 2.3.1 Develop web-based training material from the training material developed in Output 2.1 to support the application of tools, methods and guidelines for the NAP process.
- 2.3.2 Update tools, methods and guidelines, and training material based on review of thematic workshops.

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<sup>51</sup> At least two workshops in each of the following regions: Asia Pacific; East Europe and Central Asia; Latin America and Caribbean; Middle East and North Africa; and sub-Saharan Africa.

<sup>52</sup> These refer to all existing guidelines produced by organizations beyond LEG e.g. WHO and GIZ

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

#### *Adaptation alternative*

Under this Outcome, the SCCF-financed project will focus on making existing knowledge widely available as well as facilitating South-South and North-South transfer of knowledge to non-LDCs for future work (particularly for the benefit of those non-LDCs that do not receive direct support through this project). Sustained access to knowledge and lessons learned generated/collated by the project will help to maintain the technical and institutional capacities required by non-LDCs to undertake the NAP process. Consequently, Component 3 will focus on disseminating knowledge and exchanging country-specific lessons and experiences on advancing the NAP process through improved South-South and North-South cooperation. Experiences will include case studies, demonstrating NAPs as a means of reducing vulnerability. To this end, systems to facilitate knowledge sharing will be established or enhanced. Dedicated web-platforms will be used for these systems, building on existing knowledge platforms such as the WARN CC, ALM, APAN and AAKNet and those established through the NAP GSP for LDCs. This will improve cost-effectiveness and enhance existing online knowledge exchange. This outcome also supports countries with the challenge of access to finance by creating a platform for public-private partnership for adaptation investment, and sharing related lessons learned for replication in other countries.

*Output 3.1: Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (overseen by UNEP).*

Lessons learned from the NAP GSP for LDCs have revealed that gaps in knowledge and technical capacity for the NAP process can be effectively addressed through exchanging lessons and knowledge on advancing the NAP process. In accordance with this recommendation, the project will promote such an exchange through improved South-South and North-South cooperation. To this end, the project will build upon the existing regional platforms for adaptation as well as platforms created by the NAP GSP for LDCs. It is proposed that all resources for NAP processes be housed on one platform for both LDCs and non-LDCs. The project will therefore review the existing international NAP platforms with a view to enhancing access to a central platform to exchange lessons and knowledge on advancing the NAP process. Regionally, the project will review adaptation platforms and enhance or develop platforms for those regions currently without effective platforms. Indicative regional platforms to be reviewed include REGATTA, WARN CC, AAKNet, APAN, Clima South and Clima East. Knowledge and information systems will be developed on the central NAP platform as well as other regional adaptation platforms. These systems will include a quarterly newsletter, a LISTSERVE, and forums to promote discussions of adaptation themes. The knowledge and information published on these systems will include: i) case studies; ii) lessons learned; iii) practices on undertaking the NAP process; iv) training materials for the toolkits developed in Output 2.3; and v) summaries of discussions from communities of practice and working groups.

The project will establish or build upon existing communities of practice within sectors, sub-regions or adaptation themes to promote South-South and North-South cooperation. Communities of practice will interact regularly – both online and offline – to: i) share related experiences in undertaking the NAP process; ii) coordinate adaptation interventions; iii) map knowledge and identify gaps for future training and knowledge sharing; and iv) share

resources such as locally developed toolkits. This will improve collective learning and knowledge sharing. Existing communities of practice on which the project will build include GEO-SIDs and UNEP SFP. Furthermore, the working groups established in Output 2.1 will operate through the communities of practice as more focused groups, particularly for the application of toolkits. Establishing and developing knowledge and information systems and communities of practice will enhance South-South and North-South cooperation and improve the dissemination of knowledge and lessons to and between non-LDCs.

The activities to be implemented under Output 3.1. are:

- 3.1.1. Establish knowledge and information systems (including quarterly newsletter and LISTSERVE, and promotion of thematic discussions) through existing platforms where possible (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima South, Clima East) or developing platforms to communicate on NAPs and link users to available tools and resources<sup>53</sup>.
- 3.1.2. Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experiences and review NAP-related products.

*Output 3.2: South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).*

Reflecting interests expressed by stakeholders, Output 3.2 facilitates knowledge sharing related to the NAP process among countries. SCCF resources will be used to collect country experiences and best practices related to the NAP process, and disseminate them using the already-established web-based platform used currently by the LDCF-funded *Assisting least developed countries with country-driven processes to advance national adaptation plans* project<sup>54</sup> but which can be expanded easily to cater to the specific needs of other developing countries. This will include experiences from LDCs gathered from the above-named project, as well as from non-LDCs collected through the activities of outcomes 1 and 2 demonstrating:

- the NAP as a means to build adaptive capacity and thus reduce vulnerability
- value of evidence-based evaluation approaches towards deciding on economically-sound investments
- use of public finance to catalyze private finance, including for implementation of the NAP

During PPG consultations, countries recognized an appetite to upscale adaptation interventions and contribute to technical and financial sustainability of national and sub-national policy interventions (including NAPs) by involving the private sector. Based on LECB experience in developing strategies for engaging private sector in mitigation investments, and building on the private sector analysis developed (for Thailand, Indonesia, Viet Nam, Mexico and Chile) as well as the experiences of the Japan-Caribbean Climate Change Partnership in developing public-private partnerships, this Output will be used to provide technical expertise

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<sup>53</sup> This will complement Activity 6 of the Adaptation Committee workplan “Compile a list of regional centers and networks working on adaptation, with a view to strengthening their role in supporting country-driven adaptation actions”

<sup>54</sup> <http://undp-alm.org/projects/naps-ldcs>



to identify entry points for engagement of private sector in adaptation technologies/businesses. Some entry points could include: private-sector involvement in formulation of national or sectoral plans/scenarios, corporate programmes to achieve resilience, venture capital investments in adaptation technologies, studies on investment opportunities; etc.

Along with these entry points, the proposed project can provide technical guidance to: a) clearly articulate “business cases” to involve the private sector in adaptation investments as part of the overall NAP process; and b) make recommendations to formulate policy frameworks that attract active engagement of the private sector in the overall NAP process, including investment participation. In parallel, this exercise could help identify which factors have to be addressed during the NAP process to facilitate private sector involvement in implementation of NAP policies and/or projects. Further, this Output will feed these lessons and experiences into the virtual platforms created in Output 3.1 to foster regional, South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

The activities to be implemented under Output 3.2. are:

- 3.2.1. Collect and disseminate ‘case studies’, best practices and lessons learned of NAPs preparation, implementation, coordination, monitoring
- 3.2.2. Identify entry points, formulate business cases, and policy frameworks for private sector involvement in NAP/ adaptation processes. In countries such as Thailand, Indonesia, Viet Nam, Mexico and Chile, support will build on work that has been done through other programmes such as the LECB programme.
- 3.2.3. Feed lessons and experiences into the virtual platforms created in Output 3.1 to foster regional and South-South exchange and partnerships and private sector financial opportunities

#### **3.4. Intervention logic and key assumptions**

The SCCF-financed project assumes that participating non-LDCs will have developed sufficient technical and institutional capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes without limited external support. However, experience from previous GSPs shows that there are varying degrees of progress and similarly varying degrees of support needs among developing countries. For this reason, the project interventions are designed to establish systems to provide continued support to non-LDCs beyond the project’s duration (see Section 3.8). However, the options for expanding the scope and duration of the support mechanism should not be precluded.

#### **3.5. Risk analysis and risk management measures**

A number of risks threaten the success of the programme. These risks are summarised in Table 2, along with appropriate mitigation measures to minimise the potential threat posed by the specific risk. A detailed risk analysis is included as Annex 22.

**Table 2. Risks and Mitigation Measures**

Key Risks	Level	Risk Mitigation Measures
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<b>Low predictability of finance for advancing the NAP process beyond the project duration</b>	H	<p>Many non-LDCs expressed concerns on access to – and dependence on – donor funding. The project will thus focus on supporting national planning and budgeting to integrate climate change, and engaging the private sector in adaptation activities.</p> <p><u>National planning and budgeting</u> Through inter-ministerial dialogue, the project will help sensitise planning and finance ministries to the need to integrate climate change into planning and budgeting, as a means of addressing development needs. Training on economic analysis will enable policy makers to make informed decisions in the face of scarcity of financial resources for adaptation.</p> <p><u>Engaging the private sector</u> Non-LDCs cover a broad range in terms of economic development and private sector potential. The project will pilot a platform for public-private partnership, which will link adaptation ideas with private sector investment. Best practices and lessons learned can lead to the replication of the platform in other countries.</p>
<b>Coordination with development partners on NAP-related support activities</b>	L	<p>This project alone cannot support the NAP process in all non-LDCs. However, consultations with development partners indicate that programmes are underway which indirectly support the NAP process by addressing challenges expressed by non-LDCs. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs.</p>
<b>Effective coordination at national level</b>	M	<p>Embarking on a comprehensive NAP process requiring cross-sectoral collaboration was seen as daunting by many countries. The project will facilitate this process in a number of non-LDCs by providing support towards developing a NAP roadmap, which will: i) define roles based on country consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation. Invitations to training workshops will focus not only on delegates from the Ministry of Environment but also on other key ministries such as Finance and Planning in order to promote cross-sectoral dialogue.</p>

### 3.6. Consistency with national priorities or plans

The project will assist countries in ensuring the consistency of medium- to long-term adaptation processes with national, sectoral and local development priorities, processes, plans and strategies. The project is designed to complement past initiatives and enabling activities, which are by design nationally driven.

The project is consistent with the needs of non-LDCs, in the context of planning for medium- to long-term adaptation activities for advancing NAPs. These needs have been expressed during submission of collective views of non-LDCs<sup>55</sup> in response to the invitation from the decisions at COP-16<sup>56</sup> and COP-17<sup>57</sup>, as well as in a series of consultations between UNDP/UNEP and representatives of non-LDCs. In particular, the priority needs identified through these fora include:

<sup>55</sup> FCCC/SBI/2014/L.19

<sup>56</sup> 1/CP.16

<sup>57</sup> 5/CP.17

- a particular and dedicated process for NAP activities;
- institutional and technical support; and
- mechanisms to share lessons learned and knowledge from LDCs and other non-LDCs undertaking NAP processes.

Technical and institutional support provided will be consistent with the NCs of non-LDCs. These NCs include details such as: i) vulnerability assessments; ii) status of financial resources and transfer of adaptation technology; iii) education, training and public awareness; and iv) policies and strategies for climate change mitigation and adaptation. All interventions – including the development of roadmaps – will take into account the details in the NC as well as the existing technical and institutional capacity developed during the preparation of NCs.

The architecture and the instruments through which the project will provide assistance have been elaborated taking into account the needs expressed by non-LDCs.

### **3.7. Additional cost reasoning**

The effects of climate change occur at regional, national, sectoral and local levels. Climate change already poses a threat to development in non-LDCs, and this threat is likely to increase in the future as climate change intensifies. Those sectors that are negatively affected by climate change include water, energy, agriculture, tourism and health. For example i) decreased rainfall reduces crop yields; ii) an increase in natural disasters can reduce tourism at affected localities; and iii) human health is impacted when floods contaminate drinking water sources with sewage. Local communities in non-LDCs are particularly vulnerable to the effects of climate change as they heavily rely on ecosystems for their livelihoods and have limited financial capacity to cope with climate change inflicted losses. Intact ecosystems are essential in providing these communities with vital ecosystem services such as clean drinking water. Climate change can compromise such services and therefore threaten livelihoods. As a result of the subsistence nature of many local communities in LDCs, climate change effects, such as failing crops in areas vulnerable to droughts, can be devastating.

Without SCCF resources there will be limited planning for climate change adaptation in the medium- to long-term in non-LDCs. Planning to address climate change impacts in non-LDCs does not adequately include medium- to long-term considerations because of poor institutional arrangements and/or limited access to climate information, knowledge and lessons learned.

The SCCF-financed project will assist non-LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement cross-sectoral adaptation plans to climate change in a medium- to long-term framework.

### **3.8. Sustainability**

The design of the SCCF-financed project emphasises sustainability. As non-LDCs have varying levels of capacity for undertaking medium- to long-term adaptation planning, addressing technical capacity and information gaps for the NAP process will differ from country to country. For this reason, the project is designed to build technical capacity and provide the knowledge, skills and tools necessary for countries to continue to advance their NAP process beyond the duration of the project.

Access to finance, and innovative approaches to address this sustainability concern expressed by countries, is echoed throughout the project document. By introducing countries to the principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.) (Output 1.2), the SCCF project is designed to broaden the perceived scope of available finance to further advance the NAP process, especially NAP implementation, beyond the project duration. Output 3.2 takes this further, by supporting pilot countries to assess the feasibility of these approaches, as well as private sector investment in adaptation, in their countries. Related best practices and lessons learned will be shared on the project's knowledge platform to inform other non-LDCs.

Training is provided to government staff on the use of economic analysis for adaptation planning and the development of bankable projects. This will not only enhance national capacity to access external climate finance, but also enable government staff to better present proposals for funding by domestic public/private resources - supporting non-LDCs to access finance in the longer term.

The economic analysis training of Output 1.2 will be developed into a 2-week course and housed in local and/or international universities and learning institutions (e.g. University of Peradeniya in Sri Lanka and UNU). This will ensure the training is available beyond the duration of the project, supporting decision-makers to make informed decisions related to adaptation investments.

By supporting countries to develop NAP roadmaps, gaps in institutional and financial arrangements to support the NAP process will be identified. Potential measures and means to address those gaps will also be detailed, thus supporting non-LDCs to continue advancing their NAP process after the project.

The interventions under Component 2 – particularly the development of web-based training material – promote the use of the NAP toolkits beyond the lifespan of the project. Additionally, establishing and/or promoting working groups and communities of practice as well as establishing knowledge and information systems will promote the continuous sharing of technical knowledge and lessons learned among non-LDCs as well as with other countries through South-South and North-South cooperation. This will support long-term technical capacity to undertake adaptation planning in non-LDCs beyond the lifespan of the project.

### **3.9. Replication**

Technical capacity building in non-LDCs will promote replication and up-scaling of activities related to the NAP process. Firstly, government line ministries from non-LDCs will attend sub-regional and thematic workshops on the application of toolkits for the NAP process. The content of the workshop will be informed by the needs of the attending representatives from non-LDCs. The resultant improved accessibility and usability of toolkits for the NAP process – including the development of supplementary online training material – will promote the replication of activities for the NAP process in all non-LDCs. Secondly, the active participation of government line ministries in the sub-regional and thematic workshops will promote national support for the development of national planning and strategies that advance medium- to long-term adaptation planning that is country-specific and aligned with national priorities. The online training material on NAP toolkits will promote further training

activities at all levels of government within attending non-LDCs. Finally, improved mechanisms for sharing knowledge and lessons learned will promote the replication of NAP related activities in non-LDCs.

Case studies of country experiences related to the NAP process, including engagement of the private sector and innovative financial approaches to improve access to finance, will be shared through Outcome 3. This will support countries at earlier stages of the NAP process both during and beyond the duration of the project.

### **3.10. Public awareness, communications and mainstreaming strategy**

The active participation of government line ministries in the programme will encourage the development of national planning and strategies that advance medium- to long-term adaptation planning that is country-specific and aligned with national priorities. Capacity building in non-LDCs will promote replication and up-scaling of activities related to the NAP process. Results from the project will be consistently disseminated within and beyond the timeframe of the project through the knowledge and information systems established on existing platforms in Output 3.1. Additionally, UNDP and UNEP are connected to a number of well-established information sharing networks and forums – such as the ALM and the Global Adaptation Network – which will provide the regional and global connecting points for the exchange of project knowledge. Lessons learned from the project will be disseminated on these networks – as well as other regional networks – through Output 3.2. Furthermore, the project will participate, as relevant and appropriate, in scientific, policy-based and/or other relevant knowledge networks, which may be of benefit for the project. An effort will be made to establish a systematic exchange of knowledge with the global and regional knowledge institutions and centres of excellence to identify, analyse, and share lessons learned that might be beneficial to the design and implementation of NAP support initiatives. For example, relevant knowledge will be fed into, and drawn from dedicated knowledge and programming initiatives undertaken by: i) FAO and IFAD on climate smart agriculture; ii) GWP on adaptation in the water sector; iii) AMCEN, CEEPA, SOPAC and ICCCAD; and iv) UNITAR, GIZ and the Adaptation Committee on institutional capacities for NAP processes.

### **3.11. Environmental and social safeguards**

The SCCF-financed project is anticipated to have significant environmental benefits. The improved adaptation to climate change of the participating non-LDCs involves enhanced planning in the medium- to long-term in all relevant sectors, including environmental management. The support mechanism will contribute to improved livelihoods of communities within the participating non-LDCs, while also increasing their climate change resilience and adaptive capacity. As such, these can be considered ‘no regrets’ measures since the activities will improve baseline conditions even where climate change effects are less severe than anticipated.

The UNEP checklist for Environmental and Social Safeguards has been completed (Annex 18). This checklist will be reviewed annually by the PMU. The support mechanism’s activities will provide sustained environmental benefits and should not require strategic environmental assessments (SEAs) or environmental impact assessments (EIAs) to be undertaken in any of the participating countries.

The SCCF-financed project will contribute to national development priorities, and will assist in the provision of socio-economic benefits in the participating non-LDCs. Relevant

stakeholders within participating countries will be consulted throughout the implementation of the project, and will participate in the development of the activities.

The SCCF-financed project will include a focus on gender equity and will promote gender-sensitivity during the implementation of the programme activities. This will be in alignment with the relevant national gender equity targets of participating countries and international agreements such as the third MDG<sup>58</sup>.

#### **SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS**

UNDP and UNEP will be the GEF Implementing Agencies (IAs) for this initiative. Two project documents outline the distinct responsibilities of each agency within the common logical framework.

Outcome 2 and Outcome 3/Output 3.1 will be implemented by UNEP DEPI. The project will be executed by UNEP ROAP, who will be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, and organisation of regional workshops, in collaboration with relevant UNEP divisions and regional offices. The costs of UNEP ROAP execution services will be borne from the Project Management Cost budget. UNEP DEPI will delegate spending authority to ROAP through annual sub-allotments and UNEP-GEF Climate Change Adaptation Unit (CCAU) will monitor expenditures and process sub-allotments. UNEP-GEF CCAU will approve the budget that UNEP ROAP can spend within the approved spending limits. The project will be overseen by a UNEP GEF Task Manager while day-to-day management will be undertaken by a Technical Specialist based in ROAP who will be recruited and paid for by the project.

Outcome 1 and Outcome 3/Output 3.2 will be implemented following UNDP's Direct Implementation Modality (DIM)<sup>59</sup>. Costs related to DIM support are captured as direct project costs (DPCs) under the Project Management Cost budget. The UNDP-GEF Regional Technical Specialist will provide oversight, while a Lead Technical Specialist will be recruited using SCCF funds to assume responsibility for the day-to-day management of the project.

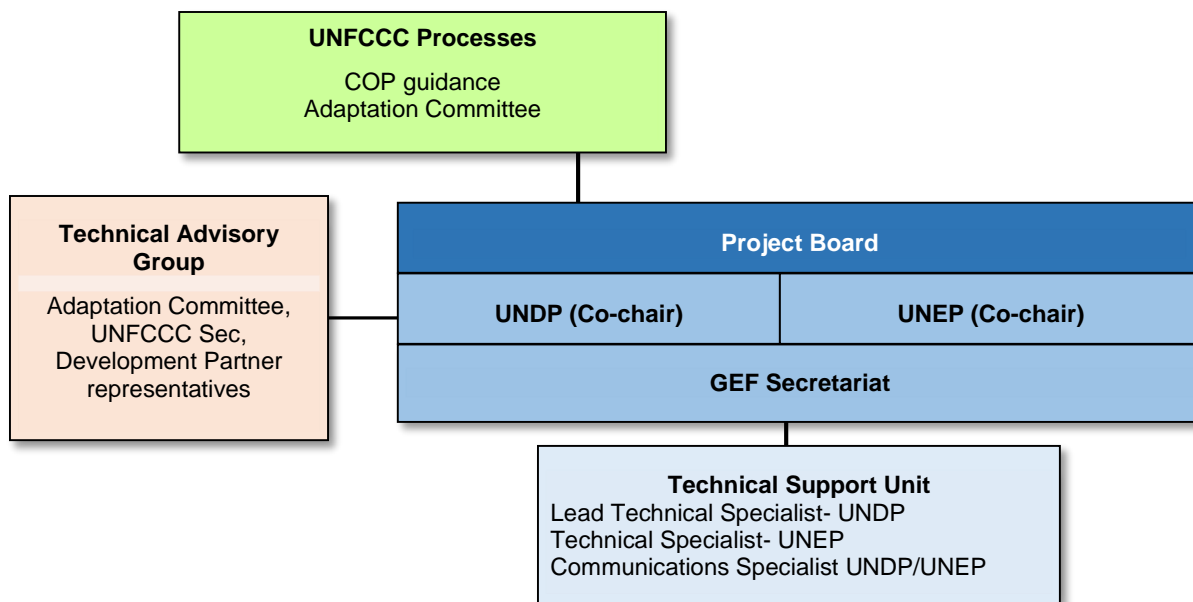
Close collaboration between UNDP and UNEP will ensure linkages to other related projects, which are either in development or commencing activities during the implementation of the SCCF-financed project. Execution of the project on UNEP's side by UNEP ROAP will ensure teamwork with the global UNDP adaptation team who are implementing and executing the project in Bangkok.

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<sup>58</sup> Promoting gender equality and empowering women

<sup>59</sup> For more information on the UNDP DIM modality, please visit:

<https://info.undp.org/global/popp/frm/pages/direct-implementation-dim-modality.aspx>



**Figure 4: Project Operational Structure**

**Project Board:** A Project Board (PB) will be the strategic decision-making body of the project. It will provide overall guidance and direction to the project, and also be responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in project strategy or implementation approach. The PB will meet once per year and consist of:

- one representative from UNDP (Co-chair);
- one representative from UNEP (Co-chair);
- one representative from the GEF-SCCF secretariat;

Other relevant stakeholders may participate in meetings as observers as needed or – upon approval by the PB – as Board members. The PB will review progress towards project implementation at regular intervals (at least annually), or as required, at the request of the Lead Technical Specialist. The PB will also approve the annual work plan prepared by the Lead Technical Specialist, with the assistance of the Project Management Unit. The annual work plan will be the instrument of authorisation through which the Lead Technical Specialist and his/her team will deliver results. Additional functions of the PB are to: i) ensure that SCCF resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; ii) arbitrate significant conflicts within the project; and iii) negotiate a solution to major problems that may arise between the project and external bodies. To ensure accountability for project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. PB members, and associated travel, are not funded through this project. As far as possible, PB meetings will be coordinated with the regularly planned Adaptation Committee meetings, other events where PB members are present.

#### **Technical Advisory Group**

The Technical Advisory Group provides technical guidance to project activities, including review of the annual work plan with recommendations, for endorsement by the PB. The

Technical Advisory Group will meet annually and is made up of representatives from the Adaptation Committee, the UNFCCC Secretariat and development partners engaged in activities to support the NAP process in countries (e.g. UNITAR, GIZ, FAO, IFAD, WHO, etc).

Other organisations involved in this initiative as collaborative partners (e.g. UNITAR, UNU) will be engaged to implement activities and deliver outputs that are under their mandate in accordance with the Stakeholder Involvement Plan. These partners will assume responsibility for the delivery of project Outputs based on agreed Terms of Reference.

**Technical Support Unit:** UNDP and UNEP will provide co-located office space for the project staff, the costs of which will be borne by the project. Technical staff hired under this project will spend 100% of their time on delivery of the project objective and outcomes. Technical staff of this project will include:

- i) Lead Technical Specialist – UNDP
- ii) Technical Specialist – UNEP; and
- iii) Communications Specialist – UNDP and UNEP

Technical expertise (e.g. economists to conduct specialize training, local consultant for roadmap development) and logistical support will also be contracted on a consultancy basis as needed.

The Terms of Reference (ToRs) for the technical staff will be included as Annex 12.

## SECTION 5: STAKEHOLDER PARTICIPATION

The implementation strategy for the project is dependent on comprehensive stakeholder participation. In addition to UNDP and UNEP, other organisations will be involved in this initiative as responsible parties and collaborative partners (e.g. IFAD, FAO, WHO). National partners will include relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

**Table 3. Relevant partners and stakeholders identified for engagement by project outcome/output**

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
<b>Outcome 1</b> Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	<b>Output 1.1</b> Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified	<b>UNDP</b>	FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, national and international CSOs, regional cooperation organisations, national planning ministries, line ministries, bilateral	Revitalise national teams to lead the NAP process and identify key stakeholders.  Stocktaking of on-going and completed initiatives of relevance to the NAP process.  Conduct stakeholder consultations, including national CSOs, to identify



			agencies	<p>expectations for advancing medium- to long-term planning for adaptation.</p> <p>Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities.</p> <p>Document the results of various stakeholder consultations.</p>
<b>Output 1.2</b> Institutional coordination and financial arrangements are strengthened/ established to support NAP process	<b>UNDP</b>	FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, ECCA Programme partners (ADB, GWP, USAID, Yale University, PIFS, SPREP, SPC, USP, GIZ, CEEPA), national and international CSOs, national planning ministries, line ministries, local universities, UNU, bilateral agencies	<p>Identify key institutions relevant to the NAP process.</p> <p>Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP. Provide in-country training on identified needs.</p> <p>Strengthen leadership (especially in finance and planning) on medium- to long-term adaptation planning.</p>	
<b>Output 1.3</b> NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.	<b>UNDP</b>	IFAD, FAO, GIZ, GWP, UNISDR, WHO, UNITAR, national planning ministries, line ministries, bilateral agencies	<p>Hold stakeholder consultations to draft and finalize country-specific NAP guidance documents.</p> <p>Formulate NAP roadmaps, including requirements for reporting (in line with LEG technical guidelines in local</p>	

				contexts).
<b>Outcome 2</b> Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.	<b>Output 2.1</b> Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, international CSOs, national planning ministries, line ministries, bilateral agencies	Undertake a survey as part of the gap/needs assessment for tools, methods, guidelines and their supplements. Promote the use of existing tools, methods, guidelines and their supplements on the basis of the needs identified. Promote the tools, methods, guidelines and their supplements in side events during COP and/or SBs.
	<b>Output 2.2</b> National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, national planning ministries, line ministries, bilateral agencies	Organise thematic/sub-regional working groups and attend 'exchange of experiences'.  Organise thematic/sub-regional workshops on the use of tools, application of methods and NAP guidelines, and relevant elements of the Adaptation Committee work programme.
	<b>Output 2.3</b> Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, national planning ministries, line ministries,	Develop web-based training material for the NAP process.  Update tools, methods, guidelines and their supplements based on workshop feedback.
<b>Outcome 3.</b> Lessons and knowledge sharing through South-South and North-South cooperation to	<b>Output 3.1</b> Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation	<b>UNDP / UNEP</b>	IFAD, FAO, WHO, UNITAR, national planning ministries, line ministries,	Establish NAP knowledge and information systems. Establish/build upon and participate in existing communities of practice.

enhance international and regional cooperation to formulate and advance NAP process.	into medium-to long term development planning (Overseen by UNEP).		global and regional knowledge platforms, bilateral agencies	Promote thematic discussions through existing networks by identifying topics for discussion and appointing facilitators.  Synthesise information from discussions, and share this information through the established/enhanced knowledge and information systems.
	<b>Output 3.2</b> South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).	<b>UNDP / UNEP</b>	National counterparts, UNDP ALM, Chambers of Commerce and private sector, bilateral agencies	Develop materials with good practices and case studies for dissemination.  Conduct outreach activities with the private sector for funding of the NAP process.  Collect and disseminate knowledge and information from piloted activities.

## SECTION 6: MONITORING AND EVALUATION PLAN

The project will be monitored through the following M&E activities. The M&E budget is provided in the Annex 8.

Project monitoring and evaluation will be conducted in accordance with established UNDP, UNEP and GEF procedures. It will be undertaken by the project team under the oversight of the UNDP-GEF unit based in Bangkok and UNEP Division for Programme Implementation (DEPI) as well as the UNEP Evaluation Office in Nairobi, respectively. The Results Framework in Annex 5 provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis of the project's Monitoring and Evaluation (M&E) system.

**Project Start:** A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organisation structure. The Inception Workshop is important to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop will address a number of important points including:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNEP and UNDP staff vis à vis

the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.

- Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalise the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, M&E requirements. The M&E work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalise various agreements and plans decided during the meeting.

**Biannual Reporting:** Progress made shall be monitored by UNDP and UNEP. Biannual reporting – including for expenditure – will be undertaken for UNEP's reporting processes. This will include the Project Implementation Report (see below) as well as a Half-Yearly Progress Report for the period 30 June to 31 December each year.

**Annual Reporting:** The Project Implementation Report (PIR) is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines UNDP, UNEP and GEF reporting requirements and is to be completed by the project in the prescribed report format by 1<sup>st</sup> August of each year. The PIR includes, but is not limited to, reporting on the following:

- progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative);
- project outputs delivered per project outcome (annual);
- lessons learned/good practices;
- risk and adaptive management;
- AWP and other expenditure reports; and
- portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

**Mid-term of project cycle:** The project will undergo an independent Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) at the mid-point of project implementation, as deemed most appropriate. The purpose of the Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) is to provide an independent assessment of project performance at mid-term, to analyse whether the project is on track, what problems and challenges the project is encountering, and which corrective actions are required so that the project can achieve its intended outcomes by project completion in the most efficient and sustainable way. The Project Board will participate in the MTR or MTE and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UNEP DEPI and UNDP GEF Unit to monitor whether the agreed recommendations are being implemented. A single MTR may be managed jointly by the UNEP and UNDP Task Managers, otherwise two separate MTRs may also be carried out. An MTE would be

managed by the Evaluation Office of UNEP (EOU). The EOU will determine whether an MTE is required or an MTR is sufficient after consulting with the UNEP and UNDP Task Managers.

The MTR/MTE will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organisation, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for the MTR will be prepared by the UNEP and UNDP, or by UNEP EO in the case of an MTE. The management response and the evaluation will be uploaded to UNEP and UNDP corporate systems

The relevant GEF Focal Area Tracking Tools will also be completed during the mid-term evaluation cycle.

**End of Project Cycle:** An independent Terminal Evaluation (TE), as a desk review, will take place three months prior to the final PB meeting, and will be undertaken in accordance with UNDP, UNEP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development the achievement of global environmental benefits/goals as well as the achievement of the adaptation alternative proposed by this project document.

The UNEP and UNDP Evaluation Offices will be responsible for the TE and liaise with the UNEP and UNDP Task Managers throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes:

- i) to provide evidence of results to meet accountability requirements; and
- ii) to promote learning, feedback, and knowledge sharing through results and lessons learned

While a TE should review use of project funds against budget, it would be the role of a financial audit to assess probity (i.e. correctness, integrity etc.) of expenditure and transactions. The TE report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office of UNEP (EOU) in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six point rating scheme. The final determination of project ratings will be made jointly by the EOU and the UNEP and UNDP Evaluation Office when the report is finalized. The evaluation report will be publicly disclosed and will be followed by a recommendation compliance process. The direct costs of reviews and evaluations will be charged against the project evaluation budget.

The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarise the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Learning and knowledge sharing:** Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:** Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

## SECTION 7: PROJECT FINANCING AND BUDGET

### 7.1. Overall project budget

To achieve the objective and outcomes presented above, SCCF resources of US\$4,500,000 in total – US\$2,250,000 for administration by UNEP and US\$2,250,000 for administration by UNDP – are requested for the period of 2015-2017, excluding the fees for the two Implementing Agencies. The breakdown of the budget across the outcomes is presented below (for greater detail, see the full project budget in Annex 1, as well as the budget components for which UNEP is responsible in Annex 2):

SCCF funding	UNDP	UNEP	Total
<b>Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP)</b>			
<b>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets</b>	1,388,889		1,388,889
<b>Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).</b>		1,896,992	1,896,992
<b>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.</b>			
<b>Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).</b>	674,444	206,342	880,786
<b>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</b>			
<b>Project management costs</b>	186,667	146,666	333,333
<b>Total</b>	<b>2,250,000</b>	<b>2,250,000</b>	<b>4,500,000</b>

## 7.2. Project co-financing

Detailed descriptions of the activities conducted by the co-financing initiatives have been described in Section 2.6 above. Table 4 below provides an outline of the initiatives and the co-financing amounts provided.

**Table 4. Project co-financing initiatives**

Co-financing Initiative	Type of Co-financing	Amount (\$)
UNDP – Low-Emission Capacity-Building (LECB) Programme	Grant	15,000,000
UNDP – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)	Grant	8,000,000
UNDP – Japan-Caribbean Climate Change Partnership	Grant	15,000,000
UNITAR – One UN Climate Change Learning Partnership (UN CC-Learn)	Grant	3,000,000
UNEP – Global Adaptation Network, Asia-Pacific Adaptation Network, REGATTA, WARN-CC	Grant	800,000
		<b>41,800,000</b>

## 7.3 Project cost-effectiveness

Cost-effectiveness is exercised throughout the project. Implementation of the SCCF-financed project will build on the structure (including knowledge platforms), progress and lessons learned from the ongoing LDCF-funded *Assisting LDCs with country-driven processes to advance National Adaptation Plans* and the *Building capacity for LDCs to implement effectively in intergovernmental climate change processes* projects.

Lessons learned, experiences to date and good practices related to climate change adaptation planning will be captured and synthesised. These lessons will then be disseminated through knowledge and information systems established on existing networks, and through online training materials. This is a cost-effective way of informing a broad range of stakeholders, including government staff, policy-makers, line ministries and all role players responsible for advancing climate change adaptation in development planning, processes and strategies within all relevant sectors and at all relevant levels.

The training workshops of Outcome 2 adopt a cost-effective approach though: i) hosting sub-regional workshops for countries with similar adaptation priorities; ii) targeting key line ministries to attend the workshops and act as champions for the NAP process; and iii) publishing workshop training material online to promote further learning for participants and other stakeholders in non-LDCs.

For the technical training of Output 1.2, the economic analysis-related in-country training, web-based courses, and university/learning institution courses expected from this SCCF, will benefit from the materials already-generated by the ECCA programme – resulting in cost-savings for these activities.

## ANNEXURES

## Annex 1: Full project budget by project components and UNEP budget lines

<b>Project title:</b>		Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)											
<b>Project number:</b>		UNEP:01247 UNDP:5347											
<b>Project executing partner:</b>		UNEP, UNDP											
<b>Project implementation period:</b>		<b>Expenditure by project outcome</b>							<b>Expenditure by calendar year</b>				
<b>From:</b>	January 2015	<b>Outcome 1</b>	<b>Outcome 2</b>	<b>Outcome 3</b>	<b>PM</b>	<b>M&amp;E</b>	<b>Total</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>		
<b>To:</b>	December 2017												
<b>UNEP Budget Line</b>													
<b>10</b>	<b>PERSONNEL COMPONENT</b>												
	1100	<b>Project personnel</b>											
		1101	Technical staff	405,000	301,500	349,500	156,000	0	1,212,000	404,000	404,000	404,000	1,212,000
		1102	Translator	0	84,000	0	0	0	84,000	0	0	84,000	84,000
		<b>1199</b>	<b>Sub-total</b>	<b>405,000</b>	<b>385,500</b>	<b>349,500</b>	<b>156,000</b>	<b>0</b>	<b>1,296,000</b>	<b>404,000</b>	<b>404,000</b>	<b>488,000</b>	<b>1,296,000</b>
	1200	<b>Consultants</b>											
		1201	International consultants	380,000	147,750	339,500	0	0	867,250	306,500	285,750	275,000	867,250
		1202	National consultants	150,000	0	30,000	90,000		270,00	80,000	95,000	95,000	270,000
		<b>1299</b>	<b>Sub-total</b>	<b>530,000</b>	<b>147,750</b>	<b>369,500</b>	<b>90,000</b>	<b>0</b>	<b>1,137,250</b>	<b>386,500</b>	<b>380,750</b>	<b>370,000</b>	<b>1,137,250</b>
	1300	<b>Administrative Support</b>											
		1301	UNDP support services				21,666		21,666	7,222	7,222	7,222	21,666
		<b>1399</b>	<b>Sub-total</b>				<b>21,666</b>		<b>21,666</b>	<b>7,222</b>	<b>7,222</b>	<b>7,222</b>	<b>21,666</b>
	1600	<b>Travel on official business</b>											
		1601	Travel on official business	135,000	121,342	87,342	0	0	343,684	81,150	132,767	129,767	343,684
		<b>1699</b>	<b>Sub-total</b>	<b>0</b>	<b>121,342</b>	<b>87,342</b>	<b>0</b>	<b>0</b>	<b>343,684</b>	<b>81,150</b>	<b>132,767</b>	<b>129,767</b>	<b>343,684</b>
<b>999</b>		<b>Component total</b>		<b>935,000</b>	<b>654,592</b>	<b>806,342</b>	<b>267,666</b>	<b>0</b>	<b>2,798,600</b>	<b>878,873</b>	<b>924,739</b>	<b>994,989</b>	<b>2,798,600</b>
	<b>SUB CONTRACT COMPONENT</b>												
	<b>2300</b>	<b>Sub contracts (for commercial purposes)</b>											



		2301	Sub contracts for course material and economics programme	300,000	0	0	0	0	300,00	100,000	100,000	100,000	300,000
		2399	Sub-total	300,000	0	0	0	0	300,000	100,000	100,00	100,000	300,000
			Component total	300,000	0	0	0	0	300,000	100,000	100,00	100,000	300,000
		<b>TRAINING COMPONENT</b>											
	3200		Group training										
		3201	Training Workshops	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
		3299	Sub-total	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
	3300		Meetings/Conferences										
		3301	Meetings	0	20,000	10,000	0	0	30,000	10,000	20,000	0	30,000
		3399	Sub-total	0	20,000	10,000	0	0	30,000	10,000	20,000	0	30,000
999			Component total	0	1,185,000	10,000	0	0	1,195,000	10,000	602,500	582,500	1,195,000
		<b>EQUIPMENT AND PREMISES COMPONENT</b>											
	4200		Non-expendable equipment										
		4201	Office rental and equipment	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
		4299	Sub-total	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
999			Component total	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
		<b>MISCELLANEOUS COMPONENT</b>											
	5300		Sundry										
		5301	Communications	0	15,000	5,000	0	0	20,000	0	12,000	8,000	20,000
		5302	Inception workshop and report	0	0	0	0	8,000	8,000	8,000	0	0	8,000
		5303	Audio visual and printing	18,889	2,400	39,444	0	0	60,733	15,444	22,200	23,089	60,733
			Sub-total	0	17,400	44,444	0	8,000	88,733	23,444	34,200	31,089	88,733
	5500		Evaluation										
		5502	Mid-term evaluation	0	0	0	0	30,000	30,000	0	30,000	0	30,000
		5582	Final evaluation	0	0	0	0	22,000	22,000	0	0	22,000	22,000
		5599	Sub-total	0	0	0	0	52,000	52,000	0	30,000	22,000	52,000
999			Component total	0	17,400	44,444	0	60,000	140,733	23,444	64,200	53,089	140,733
99		<b>GRAND TOTAL</b>		<b>1,388,889</b>	<b>1,856,992</b>	<b>860,786</b>	<b>333,333</b>	<b>60,000</b>	<b>4,500,000</b>	<b>1,034,206</b>	<b>1,713,328</b>	<b>1,752,467</b>	<b>4,500,000</b>

Item	Description of cost item
A	Technical specialists for both UNEP and UNDP Outcomes
B	\$2,800 budgeted per language for an estimated 5 toolkits per language.
C	Consultants to develop guidelines, manuals, information material, direct country support, facilitate training events, set-up and maintain website, develop a web-platform, and communications consultants (\$300 per day @ 100 days per year split between UNEP and UNDP)
D	Ongoing support to develop roadmap, local consultant, \$10K * 5 countries and local consultant for ongoing maintenance and population of public-private platform
E	UNDP Direct project costs related to direct implementation (DIM)
F	Cost of travel for UNEP technical advisor and international consultants for sub-regional workshops and meetings to facilitate knowledge sharing; travel for in-country consultations related to public-private platform; and travel for Comms, to collect and document case studies
G	Develop course materials and establish economics programme in local universities and/or UNU; estimate cost per year \$100,000
H	Country missions/workshops (Output 1.1) to conduct stocktaking and in-country training (intl consultants, local consultants, including travel). Estimated at \$40K/country * 15 countries; and technical training workshops (Output 2.3) 10 workshops with 11 participating countries (each with three delegates). Per workshop: 33 flights@ \$1700; 33 delegates DSA @\$200 per day for four days and venue hire, printing and audio visual equipment @ \$34 000
I	Meetings to facilitate knowledge sharing through working groups and communities of practice
J	Includes IT equipment, office rental and maintenance costs
K	Printing of promotional material and development of audio-visual material
L	A mid-term and final evaluation will be conducted and paid for by UNEP

## Annex 2: UNEP project budget by project components and UNEP budget lines

<b>Project title:</b>		Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)										
<b>Project number:</b>		UNEP:01247 UNDP:5347										
<b>Project executing partner:</b>		UNEP, UNDP										
<b>Project implementation period:</b>		<b>Expenditure by project outcome</b>							<b>Expenditure by calendar year</b>			
<b>From:</b>	January 2015	<b>Outcome 1</b>	<b>Outcome 2</b>	<b>Outcome 3</b>	<b>PM</b>	<b>M&amp;E</b>	<b>Total</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>	
<b>To:</b>	December 2017											
<b>UNEP Budget Line</b>												
<b>10</b>	<b>PERSONNEL COMPONENT</b>											
	1100	<b>Project personnel</b>										
	1101	Technical staff (P3/P4) (3 years @ \$180 000 per year)	0	301,500	112,500	126,000	0	540,000	180,000	180,000	180,000	540,000
	1102	Translator	0	84,000	0	0	0	84,000	0	0	84,000	84,000
	<b>1199</b>	<b>Sub-total</b>	<b>0</b>	<b>385,500</b>	<b>112,500</b>	<b>126,000</b>	<b>0</b>	<b>624,000</b>	<b>180,000</b>	<b>180,000</b>	<b>264,000</b>	<b>624,000</b>
	1200	<b>Consultants</b>										
	1201	International consultants (325 days @ \$450/day and 100 days @ \$300/day)	0	147,750	43,500	0	0	191,250	64,500	48,750	78,000	191,250
	<b>1299</b>	<b>Sub-total</b>	<b>0</b>	<b>147,750</b>	<b>43,500</b>	<b>0</b>	<b>0</b>	<b>191,250</b>	<b>64,500</b>	<b>48,750</b>	<b>78,000</b>	<b>191,250</b>
	1600	<b>Travel on official business</b>										
	1601	IC and Project Technical Staff flights	0	121,342	15,342	0	0	136,684	13,150	61,767	61,767	136,684
	<b>1699</b>	<b>Sub-total</b>	<b>0</b>	<b>121,342</b>	<b>15,342</b>	<b>0</b>	<b>0</b>	<b>136,684</b>	<b>13,150</b>	<b>61,767</b>	<b>61,767</b>	<b>136,684</b>
<b>1999</b>		<b>Component total</b>	<b>0</b>	<b>654,592</b>	<b>171,342</b>	<b>126,000</b>	<b>0</b>	<b>951,934</b>	<b>257,651</b>	<b>290,517</b>	<b>403,767</b>	<b>951,934</b>
<b>30</b>	<b>TRAINING COMPONENT</b>											
	<b>3200</b>	<b>Group training</b>										
	3201	Training Workshops	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
	<b>3299</b>	<b>Sub-total</b>	<b>0</b>	<b>1,165,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,165,000</b>	<b>0</b>	<b>582,500</b>	<b>582,500</b>	<b>1,165,000</b>
	3300	<b>Meetings/Conferences</b>										
	3301	Meetings	0	20,000	10,000	0	0	30,000	10000	20000	0	30000
	<b>3399</b>	<b>Sub-total</b>	<b>0</b>	<b>20,000</b>	<b>10,000</b>	<b>0</b>	<b>0</b>	<b>30,000</b>	<b>10000</b>	<b>20000</b>	<b>0</b>	<b>30000</b>

3999		<b>Component total</b>	0	1,185,000	10,000	0	0	1,195,000	10,000	602,500	582,500	1,195,000	
40	<b>EQUIPMENT AND PREMISES COMPONENT</b>												
	4200	<b>Non-expendable equipment</b>											
		4201	Office rental and equipment	0	0	0	20,665	0	20,665	6,888	6,888	6,889	20,665
		4299	<b>Sub-total</b>	0	0	0	20,665	0	20,665	6,888	6,888	6,889	20,665
4999		<b>Component total</b>	0	0	0	20,665	0	20,665	6,888	6,888	6,889	20,665	
50	<b>MISCELLANEOUS COMPONENT</b>												
	5300	<b>Sundry</b>											
		5301	Communications	0	15,000	5,000	0	0	20,000	0	12,000	8,000	20,000
		5302	Inception workshop and report	0	0	0	0	8,000	8,000	8,000	0	0	8,000
		5303	Printing	0	2,400	0	0	0	2,400	0	1,200	1,200	2,400
			<b>Sub-total</b>	0	17,400	5,000	0	8,000	30,400	8,000	13,200	9,200	30,400
	5500	<b>Evaluation</b>											
		5502	Mid-term evaluation	0	0	0	0	30,000	30,000	0	30,000	0	30,000
		5582	Final evaluation	0	0	0	0	22,000	22,000	0	0	22,000	22,000
		5599	<b>Sub-total</b>	0	0	0	0	52,000	52,000	0	30,000	22,000	52,000
5999		<b>Component total</b>	0	17,400	5,000	0	60,000	82,400	8,000	43,200	31,200	82,400	
99	<b>GRAND TOTAL</b>		0	1,856,992	186,342	146,666	60,000	2,250,000	282,539	943,105	1,024,356	2,250,000	

Item	Description of cost item
A	UNEP technical staff (P3/P4) will oversee, coordinate and provide technical input into the UNEP activities in the project. The technical staff will be paid \$180 000 per annum.
B	\$2,800 budgeted per language for an estimated 5 toolkits per language.
C	Consultants to develop guidelines, manuals, information material, direct country support, facilitate training events, set-up and maintain website, develop a web platform etc. as well as communications consultant @ \$300 per day for 50 days per year.
D	Cost of travel (flights and DSA) for UNEP technical staff from executing agency and international consultants to sub-regional workshops, promotional events and meetings to facilitate knowledge sharing. (Activities 2.1.3, 2.2.1, 2.2.2 and 3.1.2)
E	10 workshops with 11 participating countries (each with three delegates). Per workshop: 33 flights @ \$1700; 33 delegates DSA @ \$200 per day for four days, and venue hire, printing and audio-visual equipment @ \$34 000. (Activity 2.2.2)
F	Meetings to facilitate knowledge sharing through working groups and communities of practice. (Activities 2.2.1 and 3.1.2)
G	Printing of promotional material for Activity 2.1.3
H	A mid-term and final evaluation will be conducted and paid for by UNEP



## Annex 3: UNEP co-financing by source and UNEP budget lines

<b>Project title:</b>				Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)					
<b>Project number:</b>				UNEP:01247					
				UNDP:5347					
<b>Project executing partner:</b>				UNEP, UNDP					
<b>Project implementation period:</b>				<b>Expenditure by co-financing initiative</b>					
<b>From</b>	January 2015		<b>UNITAR – CC:Learn</b>	<b>GAN</b>	<b>WARN-CC</b>	<b>REGATTA</b>	<b>APAN</b>	<b>UNDP-ALM</b>	<b>TOTAL</b>
<b>To:</b>	December 2017								
<b>UNEP Budget Line</b>									
<b>10</b>		<b>PERSONNEL COMPONENT</b>							
	1100	<b>Project personnel</b>							
		1101	Technical staff (P3/P4) (3 years @\$180 000 per year)	1,338,630	50,000		10,000		1,398,630
		<b>1199</b>	<b>Sub-total</b>	<b>1,338,630</b>	<b>50,000</b>		<b>10,000</b>		<b>1,398,630</b>
	1200	<b>Consultants</b>							
		1201	International consultants	1,035,000	50,000		25,000		1,110,000
		<b>1299</b>	<b>Sub-total</b>	<b>1,035,000</b>	<b>50,000</b>		<b>25,000</b>		<b>1,110,000</b>
	1600								
		1601	Travel on official business				20,000		20,000
		<b>1699</b>	<b>Sub-total</b>				<b>20,000</b>		<b>20,000</b>
<b>1999</b>		<b>Component total</b>		<b>2,373,630</b>	<b>100,000</b>		<b>35,000</b>	<b>20,000</b>	<b>2,508,630</b>
<b>30</b>		<b>TRAINING COMPONENT</b>							
	<b>3200</b>	<b>Group training</b>							
		3201	Training Workshops	616,370	90,000	25,000	<b>40,000</b>	<b>20,000</b>	<b>791,370</b>
		<b>3299</b>	<b>Sub-total</b>	<b>616,370</b>	<b>90,000</b>	<b>25,000</b>	<b>40,000</b>	<b>20,000</b>	<b>791,370</b>
	3300	<b>Meetings/Conferences</b>							
		3301	Meetings	0	360,000	25,000	25,000	60,000	470,000
		<b>3399</b>	<b>Sub-total</b>	<b>0</b>	<b>360,000</b>	<b>25,000</b>	<b>25,000</b>	<b>60,000</b>	<b>470,000</b>
<b>3999</b>		<b>Component total</b>		<b>616,370</b>	<b>450,000</b>	<b>25,000</b>	<b>65,000</b>	<b>80,000</b>	<b>1,261,370</b>
<b>50</b>		<b>MISCELLANEOUS COMPONENT</b>							
	5300	<b>Sundry</b>							
		5303	Printing	10,000	0	0			10,000
			<b>Sub-total</b>	<b>10,000</b>	<b>0</b>	<b>0</b>			<b>10,000</b>
<b>5999</b>		<b>Component total</b>		<b>10,000</b>	<b>0</b>	<b>0</b>			<b>10,000</b>
<b>99</b>	<b>GRAND TOTAL</b>			<b>3,000,000</b>	<b>550,000</b>	<b>50,000</b>	<b>100,000</b>	<b>100,000</b>	<b>3,800,000</b>

#### **Annex 4: Incremental cost analysis**

SCCF projects do not follow the incremental cost reasoning, but rather apply additional cost reasoning. See Section 3.7 (Additional Cost Reasoning) in the main document for details.

## Annex 5: Results Framework

UNDP and UNEP will assume responsibility for monitoring their portions of the project separately following their respective institutional M&E guidance, while in line with donor requirements.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.			Number of countries with institutional arrangements for the NAP	<p>The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among non-LDCs are varied.</p> <p>Most non-LDCs have developed short-term adaptation plans. Many non-LDCs are in the process of developing medium- to long-term adaptation plans. Gaps in technical capacity and access to knowledge and information hinder the undertaking of</p>	N/A	At least 20 countries have been supported to develop institutional arrangements for the NAP	UNDP Capacity Assessment Scorecard	Effective coordination at national level



Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
				<p>NAP processes.</p> <p>There are weak institutional planning processes as a result adaptation in most non-LDCs is not integrated into national development planning and sectoral planning processes.</p>				
<b>Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP).</b>	<b>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	<b>Outcome level indicator<sup>60</sup></b>	Number of non-LDCs receiving tailored support to advance their NAP <sup>61</sup>	<p>Non-LDCs are at various stages in the NAP Process and require different support to further advance. Outcome 1 is structured in a way that technical support can be tailored and delivered separately or combined.</p>	At least 8 countries have received to support towards advance their NAP process	20 countries receive tailored support to advance their NAP process	In-country workshops, training materials and training materials disseminated	Coordination with development partners on NAP-related support activities

<sup>60</sup> UNDP monitors projects at the outcome, not output, level.

<sup>61</sup> This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 1.1 Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	N/A	N/A	N/A	N/A		
		Output 1.2 Institutional coordination and financial arrangements are strengthened/established to support NAP process	N/A	N/A	N/A	N/A		
		Output 1.3 NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation	N/A	N/A	N/A	N/A		
<b>Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).</b>	<b>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.</b>	<b>Outcome level indicator</b>	Number of non-LDCs with increased technical capacity to support key steps in NAP process.	Capacity of relevant government technicians in non-LDC to apply tools, methods and guidelines to undertake key steps in the NAP process is low.	At mid-term, government technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.	By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.	Surveys (tests <sup>62</sup> , questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.	Coordination with development partners on NAP-related support activities

<sup>62</sup> The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.1 Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	Number of training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process.	Existing tools, methods and guidelines are not broadly applied by non-LDCs because: i) they are developed for LDCs and are not fully applicable to non-LDCs; or ii) the proliferation of the tools, methods and guidelines are confusing for non-LDCs.	N/A	By the end of the project, one training package - containing tools, methods or guidelines - developed for non-LDCs to advance their NAP process.	Review of the training documents produced and distributed to the relevant government staff.	
		Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	Number of national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender) <sup>63</sup>	No national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process by the project	At mid-term, at least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	Workshop reports, participant lists, surveys of participants before and after the workshops.	

<sup>63</sup> This indicator is aligned with AMAT indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online.	Limited training material available online on the application of tools, methods and guidelines for NAP processes in non-LDCs, available in languages other than English and French.	At mid-term, at least 2 training materials developed and published online in at least 3 official languages of the non-LDCs.	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs.	Number of translated versions of training materials. Review of the training documents accessible online in at least 6 languages. Statistics of training materials accessed.	
<b>Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).</b>	<b>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</b>	<b>Outcome level indicator</b>	Effective uptake of lessons and best practices shared across North-South and South-South countries	South-South and North-South cooperation is limited, resulting in low levels of sharing of lessons learned and knowledge between non-LDCs.	At mid-term, at least 40% of participants in the knowledge-sharing platforms report interest and/or uptake of lessons and best practices from North and South countries	By the end of the project at least 70% participants in the knowledge-sharing systems report interest and/or uptake of lessons and best practices from North and South countries	Surveys conducted at the outset of the project and at regular intervals – including at mid-term and end of the project – with the participants of the knowledge-sharing platforms.	Coordination with development partners on NAP-related support activities  Low predictability of finance for advancing the NAP process beyond the project duration
		Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream	Number of knowledge and information systems established on NAP for non-LDCs through existing or	Current regional platforms on adaptation exist (e.g. REGATTA, WARN CC, AAKNet,	At mid-term, at least 1 knowledge and information system (e.g. LISTSERVE, quarterly newspaper, forums to promote	By the end of the project, at least 3 knowledge and information systems (e.g. LISTSERVE, quarterly	Review of the knowledge and information systems available online.	

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		adaptation into medium-to long term development planning (Overseen by UNEP).	developed platforms.	APAN, Clima South, Clima East) but there is limited knowledge and information systems on NAP processes available on these platforms.	thematic discussions) established through at least 1 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East)	newspaper, forums to promote thematic discussions) established through at least 6 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East).	LISTSERV-distribution lists.	
		Output 3.2 South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).	N/A	N/A	N/A	N/A	N/A	

Annex 6: Workplan and timetable<sup>64</sup>

Outcome	Output	Activity	Annual breakdown		
			Year 1	Year 2	Year 3
Outcome 1	Output 1.1	1.1.1 Revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders			
		1.1.2 Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process.			
		1.1.3 Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels.			
		1.1.4 Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalized on and weaknesses that need to be strengthened).			
		1.1.5 Document the results of various stakeholder consultations so that countries can build and act upon priorities.			
	Output 1.2	1.2.1 Identify key national and sub-national institutions relevant to the NAP process.			
		1.2.2 Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP.			
		1.2.3 Provide in-country training on identified needs, including: <ul style="list-style-type: none"> <li>• Applying the LEG guidelines on NAPs in local contexts</li> <li>• Conducting project and sectoral level</li> </ul>			

<sup>64</sup> UNDP is the lead institution for Outcome 1 and Output 3.2. The workplan and timetable for the related activities are included in the corresponding UNDP Project Document.

		<p>cost-benefit analysis to identify economically-efficient and sustainable adaptation options</p> <ul style="list-style-type: none"> <li>• Innovative financial schemes (issuance of green bonds for adaptation) for municipalities</li> <li>• Designing/developing bankable projects</li> </ul>			
	Output 1.3	<b>1.3.1</b> Facilitate the conduct of stakeholder consultations to draft and finalize country-specific NAP guidance documents			
		<b>1.3.2.</b> Support the formulation of the country-specific NAP guidance documents, including requirements for reporting (in line with LEG technical guidelines in local contexts).			
Outcome 2	Output 2.1	<b>2.1.1</b> Stocktaking and gap/needs assessment of tools, methods, guidelines, and their supplements to support non-LDCs to advance the NAPs process.			
		<b>2.1.2</b> Develop new or adapt existing tools, methods and supplements where necessary following the findings from the needs assessment for non-LDCs to follow NAP guidelines.			
		<b>2.1.3</b> Promote the use of new and existing tools, methods and guidelines through intergovernmental processes (e.g. side events at SBIs/SBSTAs) and the knowledge and information systems established through Output 3.1			
		<b>2.1.4</b> Develop a training package for non-LDCs – including training material – for supporting non-LDCs to advance their NAP process using new and existing tools and lessons learned from NAP GSP for LDCs and implementation of one to one support from Component 1.			
	Output 2.2	<b>2.2.1</b> Establish thematic/sub-regional ‘working groups’ across non-LDCs to attend exchange of experiences to promote South-South cooperation.			
		<b>2.2.2</b> Organise at least 10 sub-regional or thematic workshops on the application and use of tools, application of methods, and NAP guidelines and relevant elements of the Adaptation Committee work programme using the training material developed in Output			

		2.1.4.			
		<b>2.2.3</b> Review the feedback from thematic workshops' participants to develop recommendations for future training and feed them back to the training package.			
	Output 2.3	<b>2.3.1</b> Develop web-based training material <sup>65</sup> from the training material developed in Output 2.1.4 to support the application of tools, methods and guidelines for the NAP process.			
		<b>2.3.2</b> Update tools, methods and guidelines, and training material based on review of thematic workshops.			
Outcome 3	Output 3.1	<b>3.1.1</b> Establish knowledge and information systems (including quarterly newsletter and LISTSERVE, and promotion of thematic discussions) through existing platforms where possible (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima South, Clima East) or developing platforms to communicate on NAPs and link users to available tools and resources.			
		<b>3.1.2</b> Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experience and review NAP related products.			
	Output 3.2	<b>3.2.1</b> Collect and disseminate 'case studies', best practices and lessons learned of NAPs preparation, implementation, coordination, monitoring.			
		<b>3.2.2</b> Pilot platform for public-private partnership in 3-4 countries, share lessons learned			

<sup>65</sup> Indicative languages include: English, Spanish, French, Russian, Arabic and Portuguese.



**Annex 7: Key deliverables and benchmarks**

For further details see Annex 5 (Results Framework) and Annex 8 (Costed M&E plan)

**Annex 8: Costed M&E plan**

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>Project Manager</li> <li>Project team</li> </ul>	8,000	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> <li>Project Manager will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members.</li> </ul>	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>Oversight by Project Manager</li> <li>Project team</li> </ul>	To be determined as part of Annual Work Plan prep.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>Project manager and team</li> <li>UNDP and UNEP</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>Project manager and team</li> </ul>	None	Quarterly
Mid-term evaluation	<ul style="list-style-type: none"> <li>Project manager and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	30,000 <sup>66</sup>	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> <li>Project manager and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	22,000 <sup>67</sup>	At least three months before the end of project implementation
<b>TOTAL Indicative Cost</b>		60,000	

<sup>66</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

<sup>67</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

**Annex 9: Summary of reporting requirements and responsibilities**

Reporting requirements	Due date	Responsibility
Inception Workshop Report	Within first two months of project start up.	<ul style="list-style-type: none"> <li>Senior Technical Specialist (STS)</li> <li>Technical Specialist (TS)</li> </ul>
Expenditure report accompanied by explanatory notes	Ongoing, as required	<ul style="list-style-type: none"> <li>Technical Support Unit (TSU)</li> <li>International Consultants (ICs)</li> </ul>
Supervision Plan	Before the end of the proposed LDCF project's inception phase.	<ul style="list-style-type: none"> <li>Project Board (PB)</li> </ul>
Progress reporting	Quarterly	<ul style="list-style-type: none"> <li>LTS</li> <li>PB</li> </ul>
Audited report for expenditures for year ending 31 December	Yearly on or before 30 June.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Inventory of non-expendable equipment	Yearly on or before 31 January.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
PIR	Yearly	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> </ul>
Minutes of PB meetings	Quarterly (or as relevant).	<ul style="list-style-type: none"> <li>Project Assistant</li> </ul>
Completion report	Within six months of project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> </ul>
Final inventory of non-expendable equipment		<ul style="list-style-type: none"> <li>TSU</li> </ul>
Equipment transfer letter		<ul style="list-style-type: none"> <li>TSU</li> </ul>
Final expenditure statement	Within three months of project completion date.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Final audited report for expenditures of project	Within six months prior to project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>External consultant</li> </ul>
Independent terminal evaluation report	Within three months prior to project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>External consultant</li> </ul>
Measurement of means of verification of project results	Start, mid and end of project (during evaluation cycle) and annually when required.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>ICs</li> </ul>
Measurement of means of verification for project progress on output and implementation	Annually prior to project implementation review and to the definition of annual work plans.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>ICs</li> </ul>
Project closure workshop and report	On completion of the terminal evaluation.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Consultants	During baseline assessment in inception phase, at the mid-point of project implementation and at least three months before the end of project implementation.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
PB meetings for overall project monitoring and evaluation	Annually.	<ul style="list-style-type: none"> <li>PB</li> </ul>

## **Annex 10: Standard Terminal Evaluation TOR**

Below are the standard Terminal Evaluation TORs of UNEP. They will need to be adjusted to the requirements of the project.

### **Objective and Scope of the Evaluation**

The objective of the terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results.

### **Methods**

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP and the UNEP Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP Task Manager, key representatives of the executing agencies and the UNEP. Any comments or responses to the draft report will be sent to UNEP for collation and the consultant will be advised of any necessary or suggested revisions.

### **Key Evaluation principles**

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "***what happened?***" and "***what would have happened anyway?***". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance

**Annex 11: Decision-making flowchart and organizational chart**

See Section 4 (Institutional Framework and Implementation Arrangements) and Figure 2

## **Annex 12: Terms of Reference for Key Project Entities and Project Staff**

### **Project Board (PB)**

UNDP and UNEP will be responsible for establishing the project board. The PB will consist of the following:

- One representative from UNDP (Co-chair);
- One representative from UNEP (Co-chair);
- One representative from the GEF-SCCF secretariat;
- One representative from the UNFCCC Secretariat;
- One representative from the Adaptation Committee; and
- One representative from development partners, e.g. of any of WHO, IFAD, UNITAR or FAO who are also in the process of establishing relevant support mechanisms to help LDCs with advancing their NAPs.
- Participation in the Project Board will agreed by the Co-chairs.

The PB will be co-chaired by the representatives from UNEP and UNDP. The Lead Technical Specialist will be secretary of the Board.

### ***Responsibilities***

- Provide major guidance and direction to the project, ensuring it remains within any specified constraints of time, scope and budget;
- Provide advice and guidance on efficient and timely execution of the project, when required;
- Establish policies when required to define the functions, responsibilities, and delegation of powers for the implementing agency and the Project Management Unit;
- Ensure that project's policy recommendations are integrated within the policies of respective sectors each member represents;
- Address project issues as raised by the Project Managers including approval of major project revisions;
- Provide guidance and agree on possible countermeasures/management actions to address conflicts and risks during project implementation;
- Ensure that SCCF resources are committed exclusively to activities that relate to achievement of the project objective;
- Resolve significant conflicts within the project, and negotiate solutions to major problems that may arise between the project and external bodies;
- Appraise the Project progress and make recommendations for next steps.

### **Technical Support Unit (TSU)**

The Technical Support Unit will be formed and based in Bangkok, where UNDP and UNEP are both co-located and have a critical mass of staff already working with non-LDCs globally and regionally. The Lead Technical Specialist will lead the TSU. UNDP and UNEP will identify co-located office space for the project staff. The project staff will be funded by the project throughout its duration to ensure delivery of results as specified in the Strategic Results Framework. The TSU will ensure project implementation proceeds smoothly through well-written work plans and effective administrative arrangements that meet donor requirements.

The TSU will be composed of the following project staff:

- i) Lead Technical Specialist;
- ii) Technical Specialist; and
- iii) Project Assistant

### **Lead Technical Specialist**

The Lead Technical Specialist (LTS) will be contracted by UNDP to be responsible, on behalf of the two Agencies, for the implementation of the project. He/she will be responsible for project implementation and working to achieve the project outcomes. The LTS will direct and guide other project staff, including day-to-day project coordination with other implementing partners. He/She will ensure that input required from the implementing partners is secured, and the project provides the required support. The LTS will be supervised by UNDP and UNEP staff involved in oversight of this project.

**Responsibilities**

- Approve project Annual work plans and budget revisions.
- Approve annual status and financial reports.
- Ensure that UN rules and procedures are fully met in the course of the project implementation;
- Oversee implementation of Project Board directives;
- Report to UNDP/UNEP/GEF and the Project Board on the use of the project resources and achievement of the project outputs.
- Ensure effective partnership between all implementing partners in the project;
- Ensure that project activities are integrated and coordinated with the established operations of both UNDP and UNEP within their comparative advantage and their areas of work;
- Develop and maintain close linkages with relevant agencies, stakeholders, donors UNDP-UNEP-GEF, NGOs, civil society, international organisations, and implementing partners of the project;
- Supervise and lead the project team in discharging their duties at an optimum level through ensuring efficient and effective resources utilisation;
- Endorse procurement contracts, and
- Guide the Technical Specialist on project implementation issues.

**Qualifications/ Requirements**

- Graduate degree with at least 10 years working experience in disciplines of environmental science, civil engineering, geography, or natural resource management
- Experience in managing a global umbrella/support project
- Experience in managing diverse staff
- Sound understanding of environmental management issues adaptation, vulnerability and impact, loss and damage etc.;
- Familiarity with the UNFCCC negotiations on adaptation and related issues;
- Extensive contacts with international organisations involved in international studies on natural resource management in a changing climate;
- Excellent inter-personal, communication and negotiating skills;
- Previous work experience in a UN Organisation;
- Ability and willingness to travel;
- Demonstrable skills in computer use including word processing, spread sheets, PowerPoint; and
- Excellent verbal and written skills in English. A second UN language is an asset.

**Technical Specialist**

The Technical Specialist, appointed by UNEP, will be responsible for ensuring the technical rigor of all project activities that yield technical deliverables. He/She will work towards achieving the technical Outputs of the project using various inputs procured by the project, as well as partnerships developed with other entities who are working to support NAPs in non-LDCs. He/S/e will build and manage relationships and partnerships.

**Responsibilities**

- Technical monitoring and quality control of all project Outputs that require technical input (especially guidelines and policies);
- Develop detailed Terms of References for consultants and contractors, as required, in collaboration with UNDP and UNEP Regional Advisors;
- Coordinate and oversee technical input and review all technical reports produced by international consultants;
- Draft work plans for all technical activities of the project and prepare outline structure of technical reports;
- Liaise with other organisations supporting the NAP process on the delivery of project Outputs;
- Identify, analyse and communicate lessons learned that may be useful in design and implementation of similar projects. The duty of identifying and analysing lessons learned is an on-going one, and the duty to communicate those lessons is on an as-needed basis, but not less frequently than once every six months.

#### ***Qualifications/ Requirements***

- Graduate degree with at least 7 years working experience in disciplines of environmental science, civil engineering, geography, or natural resource management
- Sound understanding of environmental management issues adaptation, vulnerability and impact, loss and damage etc.;
- Familiarity with the UNFCCC negotiations on adaptation and related issues;
- Extensive contacts with international organisations involved in international studies on natural resource management in a changing climate;
- Excellent inter-personal, communication and negotiating skills;
- Previous work experience in a UN Organisation;
- Ability and willingness to travel;
- Demonstrable skills in computer use including word processing, spread sheets, PowerPoint; and
- Excellent verbal and written skills in English. A second UN language is an asset.

#### **Project Assistant**

The Project Assistant will undertake administration of the day-to-day operations of the project office and be responsible for the reporting of project financing.

#### ***Responsibilities***

- Set up and maintain all files and records of the project in both electronic and hard copies;
- Collect project related information and data;
- Administer Project Board meetings;
- Establish document control procedures;
- Compile, copy and distribute all project reports;
- Provide logistical support to the TSU and international consultants in organising training events, workshops, and seminars;
- Assist international, short-term consultants by organising their travel schedules, arranging meetings with different stakeholders, and booking hotel accommodations;
- Prepare monthly leave records for the project staff and long-term national/international consultants;
- Draft necessary correspondence with local and international agencies and stakeholders;
- Standardise the finance and accounting systems of the project while maintaining compatibility with UNDP and UNEP financial and accounting procedures;
- Prepare budget revisions of the projects based on the Combined Delivery Reports;



- Assist in the preparation of the Annual Work Plan (AWP);
- Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenditures from readily available information sources;
- Prepare financial status reports, progress reports and other required financial reports;
- Process all types of payment requests for settlement purpose including quarterly advances to the partners;
- Prepare periodic accounting records by recording receipts and disbursements (ledgers, cash books, vouchers, etc.) and reconciling data for recurring or financial special reports and assist in preparation of annual procurement plan;
- Undertake project financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final and final revisions, and support professional staff in preparing the terminal assessment reports;
- Prepare financial reports and documents as per specified formats, project, or programme plans and general reference documents as well as general administrative/financial or specialised tasks related to the project which may be of a confidential nature within the assigned area of responsibility;
- Assist in the timely issuance of contracts and assurance of other eligible entitlements of the projects personnel, experts, and consultants by preparing annual recruitment plans;
- Provide substantive support to the TSU for overall implementation; and
- Prepare and update inventories of expendable and non-expendable project equipment.

***Qualifications/ Requirements***

- University Degree in Commerce, Business Management, or other relevant discipline;
- At least 5 years of relevant administrative, financial or programme experience at the national or international level;
- Strong understanding of budgeting and the UN/GoM accounting system – candidates familiar with UNDP administrative, programme, and financial procedures preferred;
- Ability to use MS Office packages under the Windows XP Professional environment, particularly word processing and spreadsheets (MS Word, Excel, etc.);
- Initiative, sound judgment, and capacity to work independently;
- Knowledge of database packages and web-based management systems;
- Excellent inter-personal and communication skills; and
- Excellent verbal and written skills in English.

## Annex 13: Co-financing commitment letters from project partners

United Nations Development Programme



*Empowered lives.  
Resilient nations.*

23 February, 2015

Dear Dr. Ishii,

**Subject: Co-financing letter for project “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”.**

UNDP is pleased to confirm USD\$15,000,000 as baseline co-financing to support the “**Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)**” project to meet its GEF/LDCF project objectives. The co-financing is committed from the “**Japan-Caribbean Climate Change Partnership**” which is currently under implementation, with a total budget of US \$15,000,000 from the Government of Japan. The programme is aimed at promoting policy innovation for climate technology incubation and diffusion in Dominica, Grenada, Saint Lucia, Saint Vincent and the Grenadines, Guyana, Jamaica, Belize and Suriname. It is expected that through this initiative, concrete mitigation and adaption will be implemented on the ground, in line with the countries’ long-term strategies.

The Caribbean programme focuses on developing building public-private partnerships (PPPs) to promote technology transfer of adaptation and mitigation and support the formulation of NAMAs and NAPs, while fostering North-South and South-South cooperation (including policy forums bringing together representatives of Government, private Sector, regional and international organizations). The proposed SCCF programme will build on these region-based activities for the

Dr. Naoko Ishii  
Chief Executive Officer and Chairperson  
Global Environment Facility  
1818 H Street, NW, MSN G6-602  
USD, Washington DC, 20433

UNDP Barbados and the OECS Subregional Office | UN House, Marine Gardens, Christ Church, Barbados  
Tel: +1 (246) 467-6000 | Fax: +1 (246) 429-2448 | E-mail: registry.bb@undp.org | Website: www.bb.undp.org

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- 2 -

achievement of outcomes 1 and 3, in the context of: i) assessing adaptation technologies and PPPs as sustainable and cost-efficient measures for the integration of climate risks into policies and plans; ii) identification of entry points and policy frameworks for private sector involvement in NAP processes; and iii) regional and South-South exchange and partnerships for private sector financial opportunities. Lessons from this collaboration will be replicated in regions beyond the Caribbean.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Stephen O'Malley', is written over a faint, larger version of the same signature.

Stephen O'Malley  
Resident Representative



UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде برنامج الأمم المتحدة للبيئة

联合国环境规划署



Reference : DEPI/GEFCCAU

17<sup>th</sup> November, 2014

**Subject: UNEP co-financing commitment to the SCCF project "*Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs).*"**

UNEP helps developing countries to reduce vulnerabilities and build resilience to the impacts of climate change. UNEP builds and strengthens national institutional capacities for vulnerability assessment and adaptation planning, and supports national efforts to integrate climate change adaptation measures into development planning and ecosystem management practices. The project entitled "*Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)*" is built upon and contributes to the on-going projects and programs implemented by UNEP. More specifically, it will be aligned and build upon and provide mutual benefits to the following ongoing initiatives:

- **The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC AAKNet) (UNEP).** GAN is an umbrella structure that promotes the sharing of knowledge, lessons learned and experiences through regional networks. Exchange of information on climate change adaptation between member countries is facilitated through knowledge platforms, discussion forums and communities of practice. The SCCF-financed project will increase the availability of technical knowledge and toolkits on integration of climate change adaptation into medium- to long-term development planning through GAN and its associated regional networks. Of these regional networks, the Regional Gateway for Technology Transfer and Climate Change Action (REGATTA), the Asian Pacific Adaptation Platform (APAN) and the West Asia Regional Network on Climate Change (WARN-CC) will provide co-financing to this initiative through promoting developed tools and training packages.

Dr. Naoko Ishii  
 CEO & Chairperson  
 Global Environment Facility  
 1818 H Street, NW  
 Washington DC 20433, USA  
 Email: nishii@thegef.org

Please find below the budgets for these UNEP supported / led projects which the SCCF project will benefit from.

---

DIVISION OF ENVIRONMENTAL POLICY IMPLEMENTATION (DEPI)

P.O. Box 30552-00100, Nairobi, Kenya

Tel: (+254 20) 762 6707

Email: keith.alverson@unep.org


**UNITED NATIONS ENVIRONMENT PROGRAMME**

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente

Программа Организации Объединенных Наций по окружающей среде    برنامج الأمم المتحدة للبيئة

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Project/ Network	Budget (US \$)	Duration	Type of co- financing
GAN	550,000	2015 - 2016	Grant
WARN CC	50,000	2015 - 2017	Grant
APAN	100,000	2015 - 2016	Grant
REGATTA	100,000	2015	Grant
<b>Total</b>	<b>800,000</b>		

This letter serves to confirm UNEP's commitment of **USD 800,000** to the above-mentioned GEF SCCF project to provide co-financing through the projects detailed here for the amounts outlined in the table.

We look forward to your continued cooperation.

Yours sincerely,

Keith Alverson

Coordinator, Climate Change Adaptation & Terrestrial Ecosystem Branch

---

DIVISION OF ENVIRONMENTAL POLICY IMPLEMENTATION (DEPI)

P.O. Box 30552-00100, Nairobi, Kenya

Tel: (+254 20) 762 6707

Email: keith.alverson@unep.org



# unitar

United Nations Institute for Training and Research

AM/am/14/809

Geneva, 11 November 2014

Dear Dr. Ishii,

I write in connection with UNITAR's co-financing commitment to SCCF project: "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)".

The United Nations Institute for Training and Research (UNITAR) is pleased to confirm a total of US\$3,000,000 as baseline co-financing to support the "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" project to meet its GEF/SCCF project objectives. The co-financing is committed through the UNITAR supported programme further detailed below.

**The One UN Climate Change Learning Partnership (UN CC:Learn)** is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further phase of funding (2014-27).

Please find below the budget for the UNITAR led project/programme which the SCCF project will benefit from.

Project/ Programme	Budget (US \$)	Duration	Type of co- financing
UN CC:Learn	3,000,000	2014-2017	Grant
<b>Total</b>	<b>3,000,000</b>		

Dr. Naoko Ishii  
 CEO & Chairperson  
 Global Environment Facility  
 1818 H Street, NW  
 Washington DC 20433, USA  
 Email: [nishii@thegef.org](mailto:nishii@thegef.org)  
 With best wishes

Postal Address: UNITAR - Palais des Nations CH-1211 Geneva 10 - Switzerland  
 Street Address: International Environment House 11-13 Chemin des Anémones CH-1219 Châtelineau - Geneva  
 T +41 22 917 8400 F +41 22 917 8047 [www.unitar.org](http://www.unitar.org)

Institut des Nations Unies pour la formation et la recherche  
 Instituto de las Naciones Unidas para Formación Profesional e Investigaciones





Page 2

May I wish you and your team every success in the further development and eventual implementation of this project.

Sincerely,

A handwritten signature in black ink, appearing to read 'A. Mackay', with a stylized flourish at the end.

Angus Mackay  
Manager  
Climate Change Programme

CC: Pradeep Kurukulasuriya, UNDP; Ermira Fida, UNEP

page 2

*CC: Angus Mackay, Head, UN CC:Learn Secretariat, UNITAR*

**United Nations Development Programme**



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23 October, 2014

Dear Dr. Ishii,

**Subject: Co-financing letter for project “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”.**

UNDP is pleased to confirm US\$15,000,000 as baseline co-financing to support the “**Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)**” project to meet its GEF/SCCF project objectives.

The co-financing is committed from the “**Low-Emission Capacity-Building (LECB) Programme**”, which is currently under implementation, with a total budget of US\$40,000,000 from the European Union, the Government of Germany, and the Government of Australia. The LECB Programme facilitates cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMAs), strengthens institutional technical capacities and facilitates public-private partnerships.

In the context of the proposed SCCF project, the LECB Programme lays critical foundations upon which work can be augmented, such as:

- a) development of climate scenarios and adaptation planning in light of agreed mitigation interventions at the country level,

/...

Dr. Naoko Ishii  
Chief Executive Officer and Chairperson  
Global Environment Facility  
1818 H Street, NW, MSN G6-602  
USD, Washington DC, 20433

304 East 45<sup>th</sup> Street, New York, NY 10017, USA, Tel: 1 212 906 5143, Fax: 1 212 906 6998 [www.undp.org](http://www.undp.org)



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- b) public-private collaboration on adaptation initiatives, and
- c) methodologies to track and monitor the allocation, management and results of public expenditures, related to climate change.

Yours Sincerely,



Nik Sekhran  
Chief of Profession for Sustainable Development  
UNDP/BPPS

Cc: Stephen Gold, Head GLECRDS, PTA, UNDP/BPPS/GEF  
Yamil Bonduki, PM, LECB, UNDP/BPPS  
Claudia Ortiz, RTS, Bangkok

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6 February, 2015

Dr. Naoko Ishii  
Chief Executive Officer and Chairperson  
Global Environment Facility  
1818 H Street, NW, MSN G6-602  
USD, Washington DC, 20433

**Subject: Co-financing letter for project “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”.**

Dear Dr. Ishii,

UNDP is pleased to confirm USD \$8,000,000 as baseline co-financing to support the **“Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”** project to meet its GEF/LDCF project objectives.

The co-financing is committed from the **“Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)”**, which is currently under implementation, with a total budget of 10 million Euro (US \$12,391,574) from the International Climate Initiative (ICI) of the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety, of Germany. This program is implemented by UNDP, in partnership with FAO to advance the integration of climate change risks and opportunities as they affect agricultural sector-based livelihoods into associated national and sectoral planning and budgeting processes. The ICI programme will provide support to eight countries – five Non-LDCs (Kenya, Philippines, Thailand, Vietnam, and Uruguay) and three LDCs (Nepal, Uganda and Zambia) to assist them to build technical capacities to integrate key adaptation requirements for the agriculture sectors into sectoral and cross-sectoral planning and budgeting processes.

The proposed SCCF programme will benefit from the ICI partnership in several contexts: i) applying best practices and lessons of developing NAP roadmaps for the agriculture sector; ii) build on the technical expertise being mobilized by the ICI programme: SCCF will benefit from a cadre of professionals in the fields of science, technology, and economics of adaptation, etc.; and iii) capitalize on regional and global knowledge exchange activities planned under the ICI programme.

304 East 45<sup>th</sup> Street, New York, NY 10017, USA, Tel: 1 212 906 5143, Fax: 1 212 906 6998 [www.undp.org](http://www.undp.org)

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Yours Sincerely,



Adriana Dinu  
Executive Coordinator  
UNDP - Global Environment Facility

304 East 45<sup>th</sup> Street, New York, NY 10017, USA, Tel: 1 212 906 5143, Fax: 1 212 906 6998 [www.undp.org](http://www.undp.org)

**Annex 14: Endorsement letters of GEF National Focal Points**

No letters of endorsement are necessary for this global support programme.

**Annex 15: Draft procurement plan**

The table below specifies the technical assistance consultancies planned for the SCCF-financed project (to be updated with UNDP budget)

<b><i>Position titles</i></b>	<b><i>US\$ per person week</i></b>	<b><i>Estimated person weeks</i></b>	<b><i>Tasks to be performed</i></b>
International consultants	2,250	225	<p>The International consultants will assist with the development of guidelines, technical manuals, and information and other material. They will provide direct support to participating countries, as well as facilitating training events and thematic workshops. The International consultants will also be responsible for setting up and maintaining knowledge and information systems as appropriate.</p> <p>Furthermore, the International consultants will assist the project staff in providing participating countries with support for the development of NAP papers, the facilitation of stakeholder and other meetings, and in the promotion of awareness and dissemination of lessons and experiences.</p>

## Annex 16: Tracking Tools

The outcomes, indicators, target at CEO Approval and baselines from the **Climate Change Adaptation - LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT)** are shown below.

<b>Project Baselines, targets and outcomes</b>						
<b>Indicator</b>	<b>Unit of measurement</b>	<b>Baseline at CEO Endorsement</b>	<b>Target at CEO endorsement</b>	<b>Actual at mid-term</b>	<b>Actual at Completion</b>	<b>Comments (e.g. specify unit of measurement)</b>
<b>Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation</b>						
<b>Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</b>						
Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	Number of people	0	300			
	% female	0	30%			
<b>Objective 3: Integrate climate change adaptation into relevant policies, plans, and associated processes</b>						
<b>Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</b>						
Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes	Number of countries	0	20			
	Score	1	2			This score is based on the "Scoring Methodology" definition in the AMAT, but using an estimation of the level of arrangements, instead of the 5

						criteria provided by GEF SEC. It is at this stage unclear which countries will receive one-on-one support, and thus it is not possible to define the score for each criterion. Most likely, all countries targeted have at least started arrangements to integrate CCA into policies, plans and processes, thus the baseline is scored as "1".
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### **Annex 17: UNDP & UNEP comparative advantage**

The project is supported by UNDP's policy framework, as well as technical expertise, at three levels: global, regional and national.

Given the project's focus on climate resilient planning, the project falls under Outcome 1 of the UNDP Strategic Plan 2014-2017:

*Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded*

- Output 1.4. Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented

The SCCF-financed project is part of UNDP's well-established climate change adaptation programme overseen by the Green Low-emission, Climate-resilient Development Strategies (LECRDS) unit. The programme has an active portfolio totalling \$800million, though funding from the LDCF, SCCF, the Adaptation Fund as well as bilateral donors.

UNEP's Programme of Work (PoW) details *inter alia* the expected accomplishments of the organisation in achieving its over-arching goals. This project is aligned with the objective of Subprogramme 1 of the current UNEP Programme of Work (2014-2015) "*to strengthen the ability of countries to move towards climate-resilient and low emission pathways for sustainable development and human well-being*", as it will support non-LDC developing countries to include planning for climate change adaptation into national development processes. Under Expected Accomplishment (a) of UNEP's Subprogramme 1 - Climate Change<sup>68</sup>, the project will be contributing to PoW Outputs 1, 3, and 5. In particular, the focus will be on contributing towards Output 3: *Support provided to integrate Ecosystem-based Adaptation (EbA) and supporting adaptation approaches into national and sectoral development policies, plans and strategies, and develop legal and regulatory frameworks*. To support the integration of climate change adaptation into national development planning, the project will provide toolkits and training, support national technicians, promote improved coordination mechanisms and enhance knowledge sharing through climate change networks. The project will also contribute to the outputs described below.

- Output 1: *Technical support provided to countries to develop and pilot methods and tools and dissemination of these through knowledge networks along with research results, lessons learnt and good practices.*
- Output 5: *Support provided to countries to improve access to public and private global, regional and national adaptation finance, strengthen readiness for deploying finance and apply innovative finance mechanisms.*

UNEP has experience in implementing approximately 80 projects on adaptation at global, regional and national levels. These projects develop innovative solutions for national governments and local communities to adapt to the predicted effects of climate change in an environmentally sound manner. This is achieved by: i) providing methods and tools to support decision making; ii) addressing barriers to implementation; iii) testing and demonstrating proposed solutions; and iv) enhancing climate resilience by restoring valuable ecosystems that are vulnerable to climate change. UNEP has accumulated an impressive body of knowledge and experience from its implementation of previous and ongoing projects. The agency will draw upon this experience during the implementation of the SCCF-financed

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<sup>68</sup> Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts.



project. Furthermore, UNEP has been known for its strong technical and scientific background in the field of climate change.

UNDP and UNEP have had a successful history of collaboration, and the agencies are currently working together on implementation of the related *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* and the *Building capacity for LDCs to participate effectively in intergovernmental climate change processes* projects. The SCCF-financed project would benefit from the already-established knowledge platform, roster of experts, and network of support provided by these efforts.

## Annex 18: UNEP checklist for Environmental and Social Safeguards

As part of the GEF's evolving Fiduciary Standards, implementing agencies have to address "Environmental and Social Safeguards". The checklist was developed with the following steps as guidance:

- STEP 1: Initially assess E&S Safeguards as part of PIF development. The checklist is to be submitted for the PRC.
- STEP 2: Checklist is reviewed during the PPG phase and updated as required.
- STEP 3: Final checklist submitted for PRC showing which activities are being undertaken to address issues identified.

<b>Project Title:</b>	<b><i>Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPS)</i></b>		
<b>GEF project ID and UNEP ID/IMIS Number</b>		<b>Version of checklist</b>	One
<b>Project status (preparation, implementation, MTE/MTR, TE)</b>	Under preparation	<b>Date of this version:</b>	September 2014
<b>Checklist prepared by (Name, Title, and Institution)</b>	<i>Nina Raasakka, Task Manager, GEF CCAU, DEPI UNEP.</i>		

*In completing the checklist, both short- and long-term impacts shall be considered.*

### **Section A: Project location**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Is the project area in or close to - - densely populated area	N/A	The SCCF-financed project is a global support programme that will strengthen the capacities of non-LDCs. As such there are no on-the-ground interventions related to a project location. The responses to this section are therefore all "N/A".
- cultural heritage site	N/A	
- protected area	N/A	
- wetland	N/A	
- mangrove	N/A	
- estuarine	N/A	
- buffer zone of protected area	N/A	
- special area for protection of biodiversity	N/A	
- Will project require temporary or permanent support facilities?	N/A	

*If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.*

**Section B: Environmental impacts, i.e.**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Are ecosystems related to project fragile or degraded?	N/A	No specific ecosystems are related to the project.
- Will the project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	No	No permanent infrastructure will be constructed for the project.
- Will project cause impairment of ecological opportunities?	N/A	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	N/A	
- Will project cause air, soil or water pollution?	N/A	
- Will project cause soil erosion and siltation?	N/A	
- Will project cause increased waste production?	N/A	
- Will project cause Hazardous Waste production?	N/A	
- Will project cause threat to local ecosystems due to invasive species?	N/A	
- Will project cause Greenhouse Gas Emissions?	N/A	
- Other environmental issues, e.g. noise and traffic	N/A	
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

**Section C: Social impacts**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Does the project respect internationally proclaimed human rights including dignity, cultural	Yes	The project will align with national policies, strategies and priorities in participating non-LDCs.

property and uniqueness and rights of indigenous people?		
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	N/A	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	No	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	Yes	The SCCF-financed project is designed to <i>inter alia</i> strengthen the capacity of government staff in non-LDCs for medium-to long-term adaptation planning. These stakeholders will benefit from training and additional institutional support. Additionally, extensive consultations will be undertaken with a diverse range of stakeholders in each of the participating countries.
- Will the project affect the state of the targeted country's (-ies') institutional context?	Yes	The project will focus on capacity building and knowledge sharing on medium- to long-term adaptation planning. Part of this includes training government ministries, as well as strengthening national mechanisms and disseminating information on good practices. Through these activities, the project will positively impact on the countries' institutional frameworks for effective medium- to long-term planning for climate change adaptation in accordance with national development priorities.
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial uses (water supply or fisheries)?	N/A	
- Will the project cause technology or land use modification that may change present social and economic activities?	Yes	The enhancement of capacity in non-LDCs for medium- to long-term planning for climate change adaptation is expected to result in improved socio-economic conditions.
- Will the project cause dislocation or involuntary resettlement of people?	No	
- Will the project cause uncontrolled immigration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	No	The project interventions do not entail any road or similar substantial infrastructure constructions.
- Will the project cause increased local or regional unemployment?	No	

- Does the project include measures to avoid forced or child labour?	N/A	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	N/A	
- Will the project cause impairment of recreational opportunities?	N/A	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	No	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	No	The project will include a focus on gender equity and will promote gender-sensitivity during the implementation of project activities.
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	No	
- Does the project include measures to avoid corruption?	Yes	According to UNEP norms and guidelines.
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

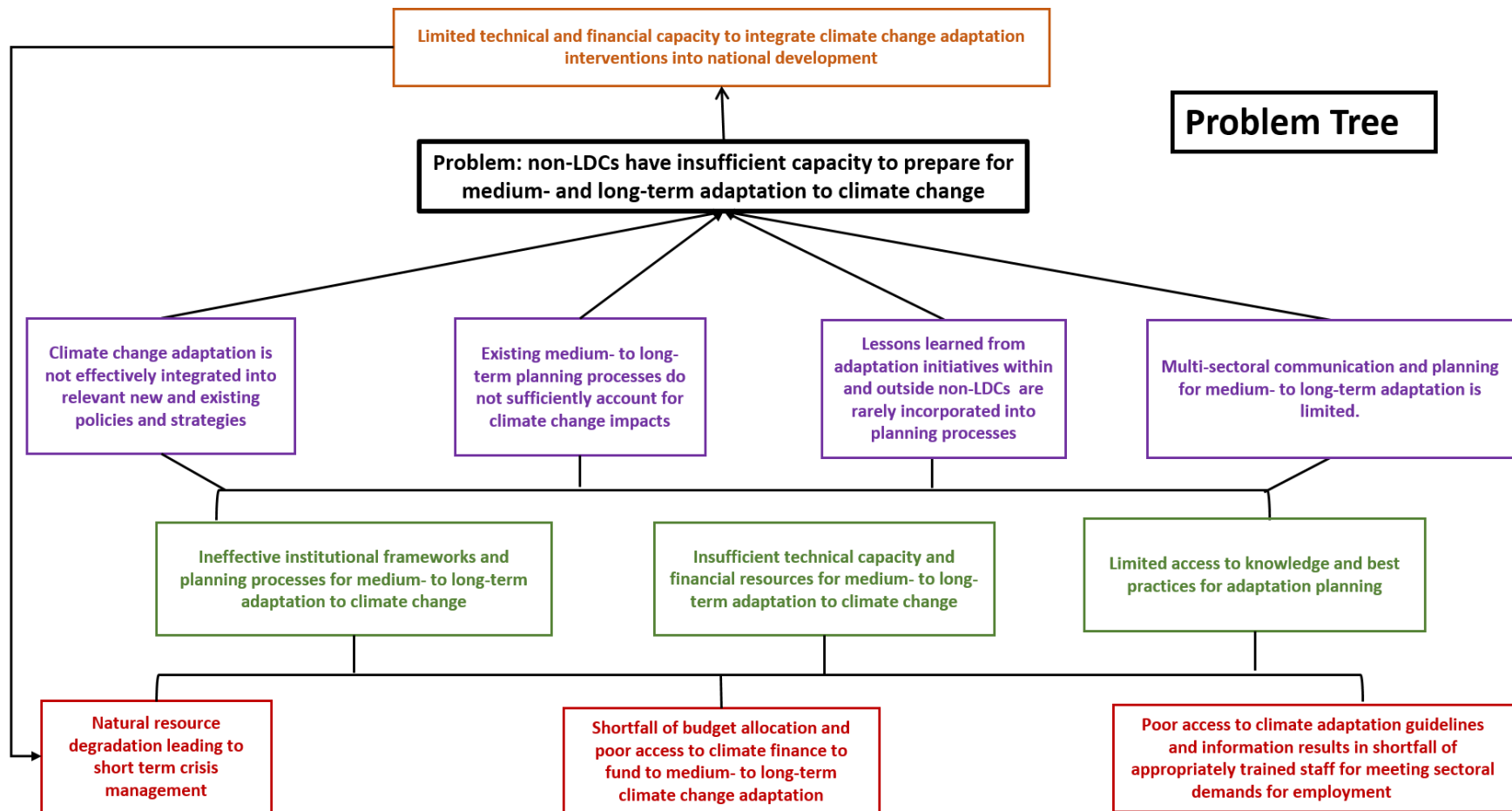
#### **Section D: Other considerations**

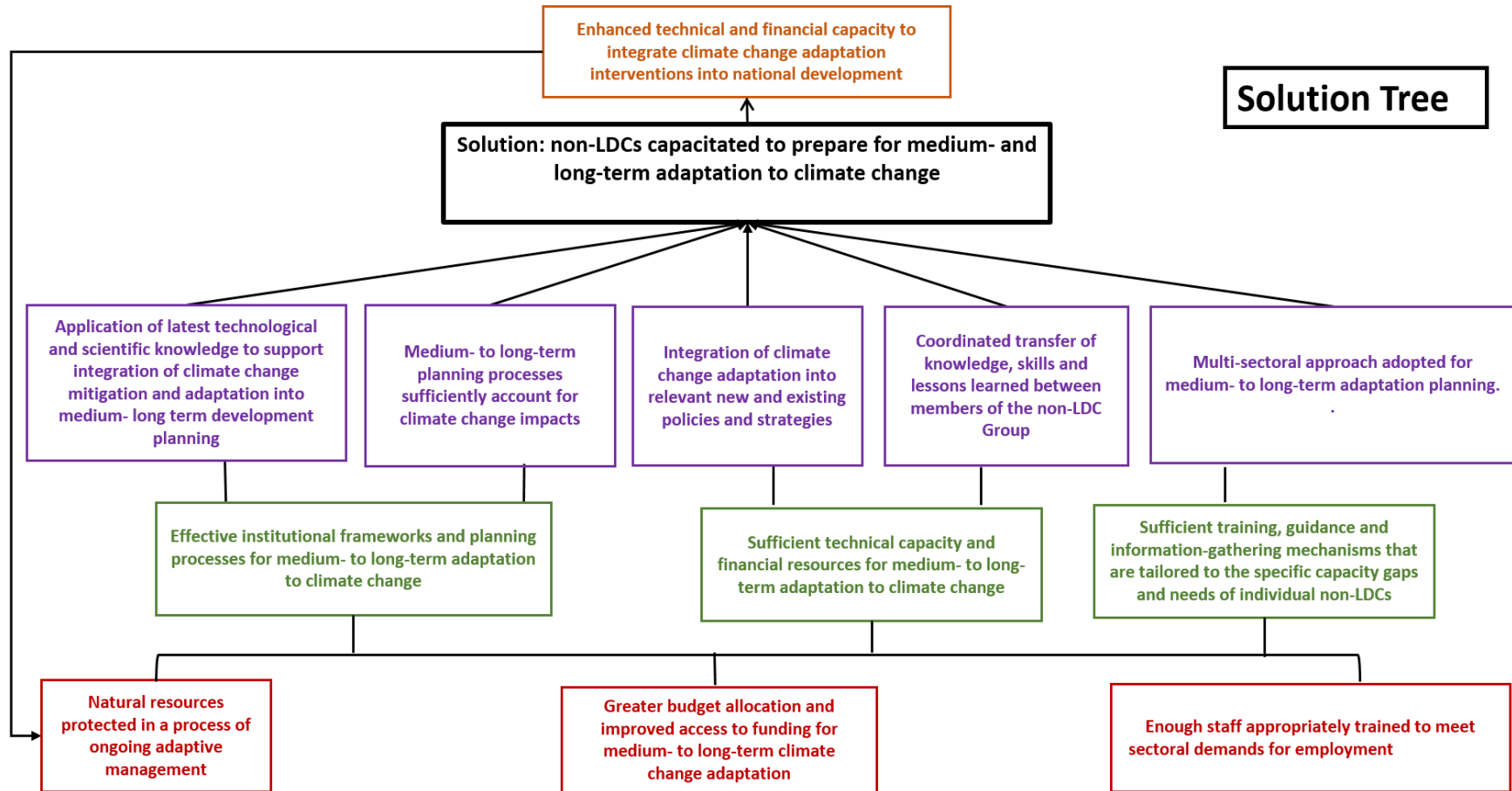
If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	N/A	The project's activities will not result in direct impacts on the environment.
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	N/A	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	No	The project was instigated at the need expressed by non-LDCs for a Global Support Programme for developing countries.
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	Yes	Medium- to long term positive environmental and social impacts are expected to accrue. This will be achieved as the project contributes to sustainable development planning through the generation of benefits and sharing of lessons learned. This will facilitate subsequent replication and upscaling.

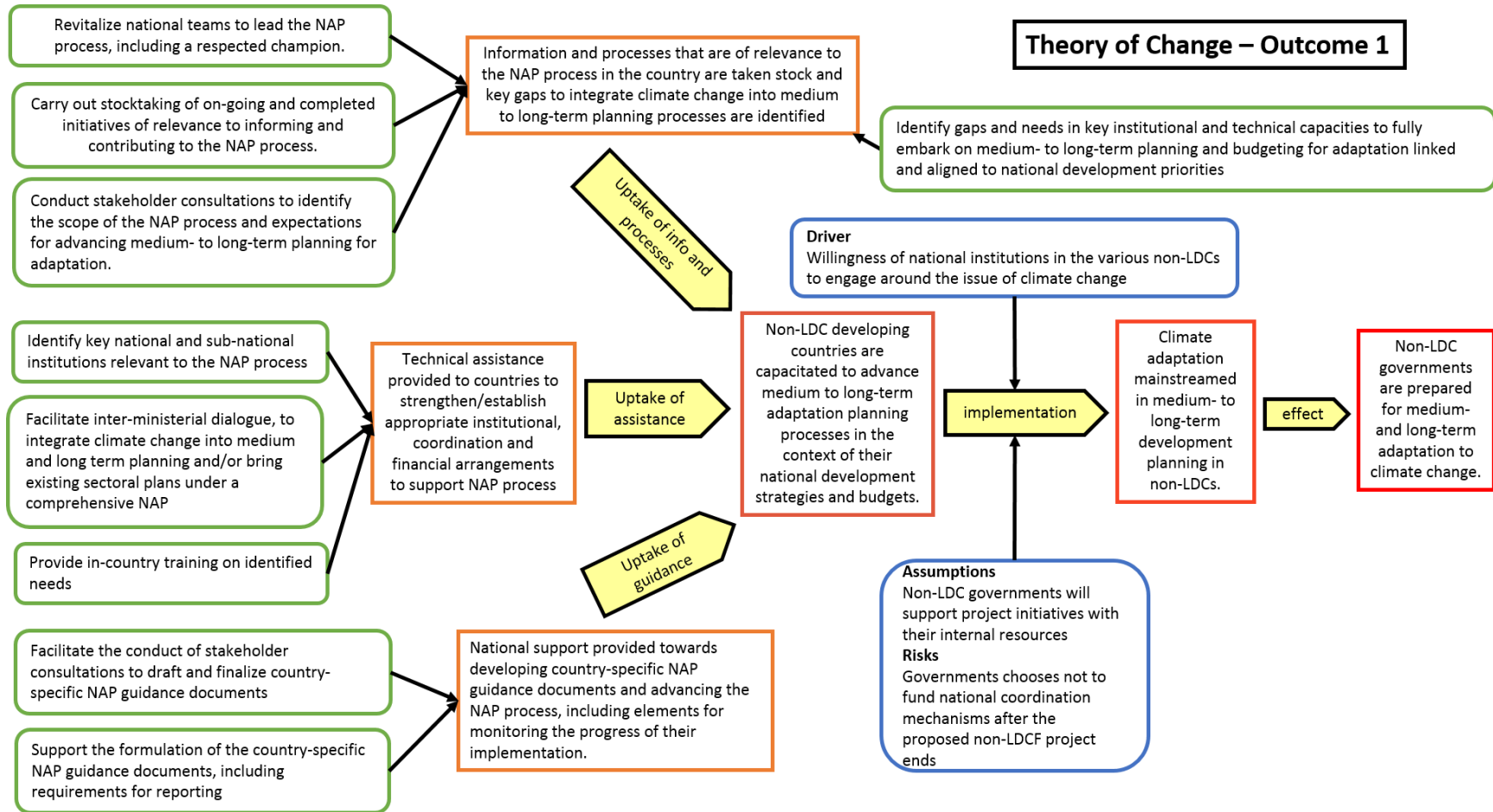
- Is it possible to isolate the impact from this project to monitor E&S impact?	N/A	
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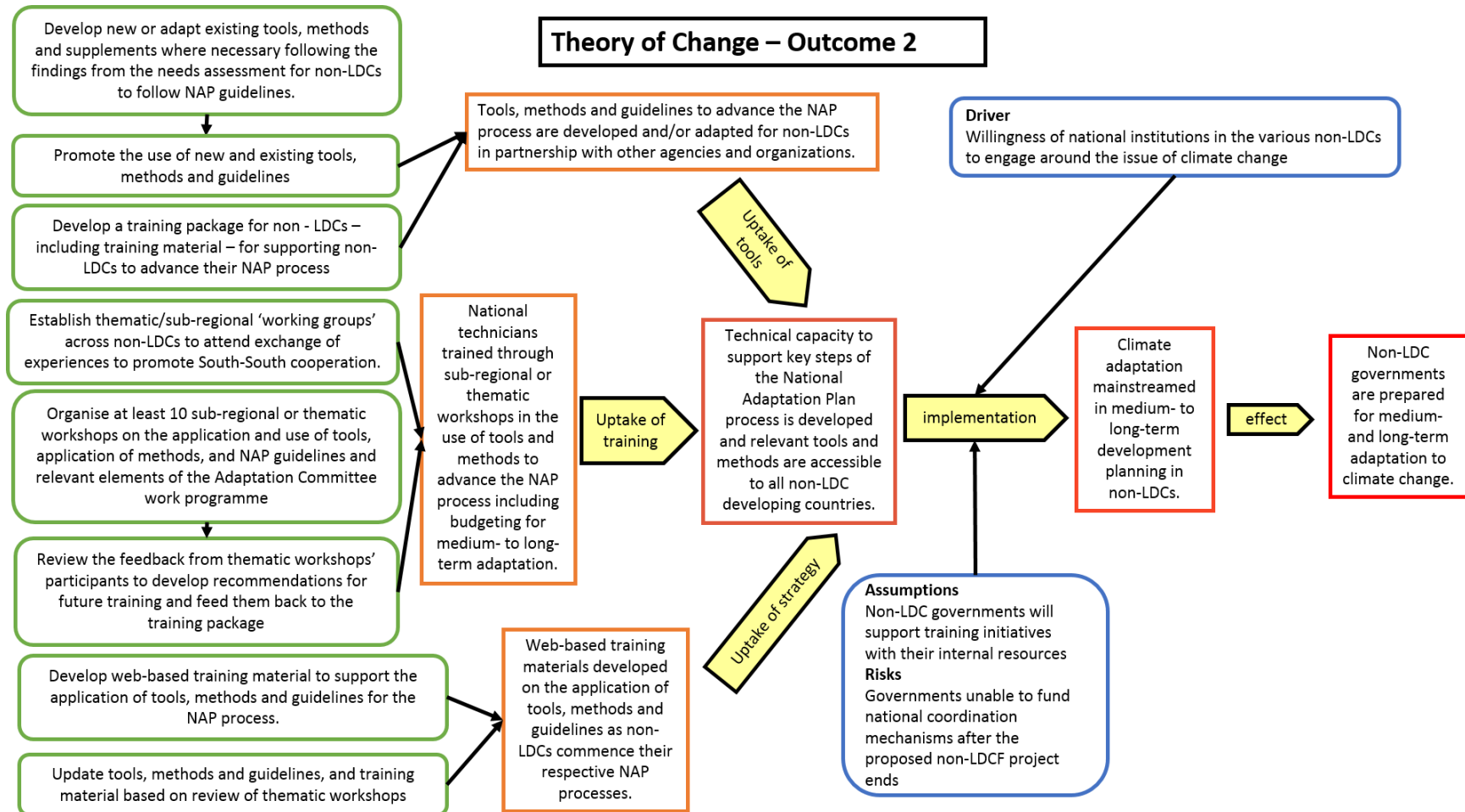
Annex 19: Theory of Change



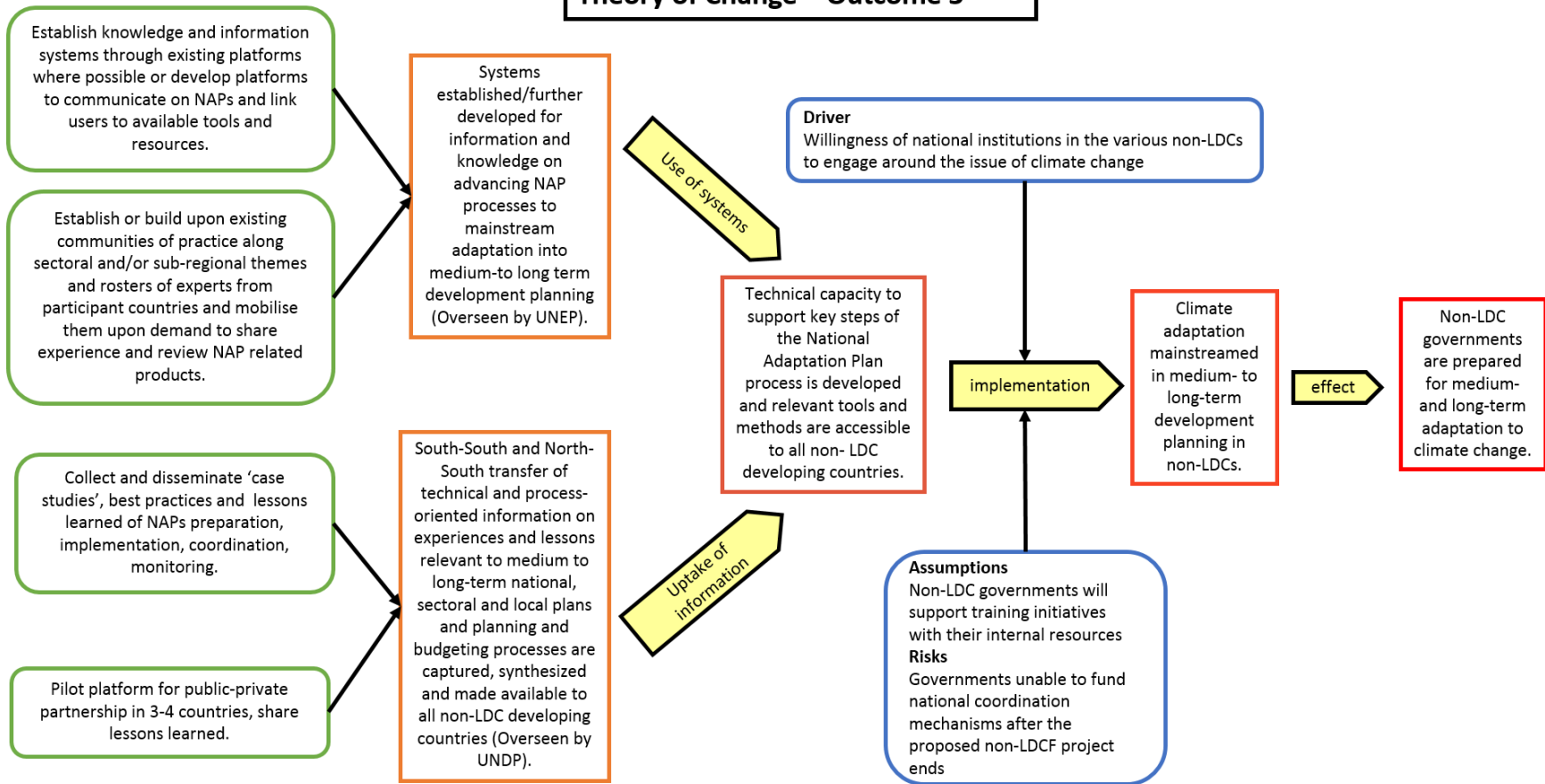








**Theory of Change – Outcome 3**



**Annex 20: Stakeholder consultations during the PPG identifying the priorities for support according to the elements and steps of the NAP process.**

As the project is global in scope, consultations with country representatives and development partners were sought through major climate change-related events, as well as Adaptation Committee meetings, in particular:

- Bonn Climate Change Conference, Bonn, June 2014
- Taller Sub-regional – Medidas y Proyectos de Adaptación (Sub-regional Workshop – Adaptation Measures and Projects), Mexico City, September 2014
- USAID Adapt Asia-Pacific Third Annual Forum 2014, Siem Reap, September 2014
- NAP Task Force Meeting, Bonn, September 2014
- 6<sup>th</sup> Meeting of the Adaptation Committee, Bonn, September 2014

Further, existing networks and in-country missions were used to conduct additional consultations with non-LDCs on country needs, experiences and progress related to the NAP process.

The consultations were not meant to be a thorough assessment, but rather a means of collecting information to refine the design of the SCCF project. Notes and highlights from consultations are captured below. These should serve as a basis upon which to further discussions with countries on stocking and identifying needs related to the NAP process, which can be addressed by the SCCF project.

Countries and UNFCCC Party Groupings	Consultation Notes
African States	<ul style="list-style-type: none"> <li>• Many countries have developed ‘NAP-like’ strategies/plans, but these aren’t always comprehensive enough to encompass the full extent of medium- to long-term adaptation priorities.</li> <li>• There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive</li> <li>• There are a number of contextual issues that need to be addressed in providing support to non-LDCs, there is a need for flexibility.</li> <li>• In the pre-development of the NAP, it is important to emphasize that it looks at long-term adaptation</li> <li>• As NAPs are focused on the longer term, there is a need for technical support to improve scientific understanding of evolving impacts of climate change, to inform planning.</li> <li>• Clarity on NAP guidance is needed. The current guidelines for NAP are aimed at LDCs, are these relevant enough for non-LDCs.</li> <li>• There is a need for support to implement priorities of existing adaptation strategies/plans, rather than supporting the planning process itself.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Alliance of Small Island States (AOSIS)	<ul style="list-style-type: none"> <li>• NAPs should be aligned with predictable financial support, funding for non-LDCs is unpredictable and inadequate</li> <li>• There is a need for an increased focus on implementation (as opposed to planning) of adaptation priorities</li> <li>• Special technical guidelines should be developed to include specific consideration of the vulnerabilities of SIDS               <ul style="list-style-type: none"> <li>◦ High vulnerability to climate change</li> <li>◦ Low technical capacity</li> </ul> </li> </ul>
Armenia	<ul style="list-style-type: none"> <li>• Armenia has a number of strategies/plans for adaptation. However, there are differences between maturity of these plans. Most planning is presently focussed on short-term adaptation priorities.</li> <li>• It is not clear what the proposed format of the NAP should be, e.g. what details should be included in the NAP? The NAP should not be a detailed wishlist (like the NAPA) but rather a guiding document; otherwise there is little added value in undertaking this process. The document should be prepared in a way that it is ready for government approval.</li> <li>• Armenia already has a national adaptation strategy that is currently a part of their National Communication. Armenia's NAP should therefore be an expansion on the National Communication with a focus on embedding approaches for adaptation planning.</li> <li>• The NAP should include a comprehensive and detailed description of climate risks that can attract the attention and support of government officials. The "creeping" nature of climate change impacts requires equal consideration of long-term climate risks with shorter-term risks that are easier to recognise for decision-makers.</li> <li>• An inherent part of the NAP should be an action plan. Coupled to this should be costed and budgeted priorities to motivate for funding from government and donors.</li> <li>• Armenia has an interdepartmental council but this body rarely plans and implements climate change activities. This council has the potential to act as the national coordination mechanism for the NAP process provided they are given a strong mandate.</li> <li>• The best entry point is to engage with the stakeholders currently coordinating the National Communications. However, this will require establishing a strong mechanism to ensure ongoing coordination.</li> <li>• There is a need to enhance understanding of climate change adaptation. At present, technical expertise for adaptation is spread across a number of ministries. This will need to be upscaled and replicated so that all ministries understand their various functions and responsibilities regarding adaptation in each sector.</li> <li>• An effective tool for exposing high-level decision-makers to adaptation is to convene national workshops to which various ministries are invited. These workshops should build understanding of how climate change impacts each sector. However, this should be separate from more technical training for government staff that are responsible for on-the-ground implementation.</li> <li>• Technical training is likely to be more effective if in-country workshops are arranged, rather than regional workshops. Recent experience of invitations received for regional (e.g. EU-organised) events have shown that ministries are only able to send a few delegates to attend. Moreover, these delegates are often unable to transfer the knowledge gained to all relevant stakeholders on their return.</li> <li>• A preferred approach would be to arrange for short-term specialists to visit countries to attend national or sub-regional</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<p>workshops. In this way, the technical training can be tailored to country-specific contexts that are a function of inter alia: i) government systems; ii) geographical and climatic factors; iii) ecosystems; and iv) culture. Specialists could be sourced from a roster of experts (e.g. through the various partners under the GSP) and provide targeted training to larger and more diverse groups than would be able to attend regional workshops.</p> <ul style="list-style-type: none"> <li>• These workshops can be complemented by remote/online support relating to tools and methodologies for integration of climate change into medium- to long-term planning.</li> <li>• It is necessary to ensure that information and knowledge is packaged into “easy-to-digest” training sessions and tools that are designed to promote application of the knowledge. At present, government technicians are often over-burdened with considerable workloads. In addition, they may not have the requisite training to make best use of information if it is not presented with application/implementation in mind. Language barriers may also hinder utility of complex information.</li> <li>• In particular, technical assistance is required concerning: i) up-to-date climate risk information; ii) mapping of future climate risk scenarios; iii) application of this information in development planning to reduce these risks, especially for the water sector; and iv) development of costed/budget projects that are bankable and suitable for application to donor funding for implementation.</li> <li>• Entry points for private sector involvement in financing such projects as well as other initiatives – e.g. agricultural insurance – should also developed during the NAP process. This should lead to creation of legislation and incentives for promote such private sector involvement.</li> </ul>
Belize	<ul style="list-style-type: none"> <li>• Belize has developed a draft National Climate Change Policy, Strategy and Action Plan that will soon be endorsed. This is a combined adaptation/mitigation framework that encourages engagement of all government agencies in designing options for mitigation and adaptation. It also creates an enabling environment for capacity building and technology transfer.</li> <li>• To support coordination and mainstreaming of climate change concerns, a National Climate Change Office has been created within the Ministry of Forestry Fish and Sustainable Development. In addition, a National Climate Change Committee has been established. This NCCC includes at least one representative per government ministry to ensure a coherent and collaborate approach to climate change adaptation. However, there is need for considerable strengthening of the NCCO.</li> <li>• At least 9 policies/plans have been designed to integrate climate change into prioritisation across a number of sectors, including: i) integrated coastal zone management; ii) integrated watershed resource management; iii) food and agriculture policy; and iv) the national development framework.</li> <li>• Funding has been/can be accessed through: i) the Adaptation Fund; ii) the Caricom Climate Change Centre; iii) the EU-GCCA initiative; and iv) other multi-/bi-lateral funding through WWF and the WB.</li> <li>• Challenges that constrain adaptation to climate change include: <ul style="list-style-type: none"> <li>○ limited financial and technical resources;</li> <li>○ little demonstration and adoption of climate-resilient techniques;</li> <li>○ poor levels of awareness and education;</li> </ul> </li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<ul style="list-style-type: none"> <li>○ uncertainties concerning the negotiation processes; and</li> <li>○ capacity building.</li> </ul>
Bolivia	<ul style="list-style-type: none"> <li>• Taking stock of and revising guidelines for the NAP process must not happen too early, as this will result in “shifting goalposts”.</li> <li>• The present focus of NAPs is (perceived as) too limited. There is an increased need for a focus on implementation of adaptation priorities. This could be addressed by the development of packages of interventions for addressing particular vulnerabilities.</li> <li>• Integration of various adaptation priorities is problematic. This has resulted in discrete siloes of funds within countries for sectoral adaptation planning that is disparate. Consequently, mainstreaming of adaptation across all sectors is constrained.</li> <li>• Need to link to financing (e.g. GCF), with an aim towards reducing vulnerability.</li> </ul>
Brazil	<ul style="list-style-type: none"> <li>• Brazil is advanced in its NAP work, and would be interested to learn of opportunities to related provide South-South support.</li> <li>• Also appreciated however would be opportunities to partake in technical trainings.</li> </ul>
Cook Islands	<ul style="list-style-type: none"> <li>• Cook Islands has completed the JNAP, which was endorsed in 2012; the JNAP will be reviewed in 2015 – this provides an opportunity for including elements of the NAP process into the revision.</li> <li>• The JNAP follows a similar coordination mechanism to the National Communication. This provides a platform for facilitation of the NAP process and integrating it with the JNAP revisions.</li> <li>• Technical assistance is required, particularly concerning economic and social costing of projected impacts of climate change and development of costed/budgeted implementation priorities.</li> </ul>
Colombia	<ul style="list-style-type: none"> <li>• Introductory discussions - interested in learning more about the SCCF project once operational and support available</li> </ul>
Costa Rica	<ul style="list-style-type: none"> <li>• It is an interesting moment to develop the NAP because there are a few other legislation frameworks under revision (National Development Plan, National strategy for biodiversity and adaptation strategy for biodiversity). <ul style="list-style-type: none"> <li>• There is an interest in linking the NAP to the agriculture sector (sustainable land use, erosion control, future conflicts between agriculture and forestry due to climate change, etc.).</li> <li>• Cost Rica is in the process of forming a multi-institutional and multidisciplinary team, later work, make an assessment of the information out there, and determine gaps. There is a need to secure funding to fill the gaps and achieve a competitive work team.</li> <li>• Technical assistance is needed through on-site and electronic media, as well as financial support.</li> </ul> </li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
Cuba	<ul style="list-style-type: none"> <li>• The 1st “Programme to face climate change” was implemented in 2007. This has been followed up by the “National strategy to face climate change 2015–2030”. This strategy has a set of nine sub-strategies to address climate change. A national adaptation plan is part of this comprehensive strategy that includes mitigation and renewable energy.</li> <li>• With the existence of this strategy, there is no need for a separate legal framework for climate change. Rather, Cuba needs a broader umbrella framework within which climate change is included. This would support the articles in the constitution related to climate change such as environmental law, coastal regulation, fisheries, forestry, water, soil, national parks and natural disasters.</li> <li>• The principles that must underlie all adaptation priorities are cost-benefit analyses and proven benefits of adaptation actions.</li> <li>• The national budget reflects that states interest in supporting climate change priorities. However, Cuba experiences considerable constraints in the availability of financial resources for adaptation.</li> <li>• There is strong need for transfer of adaptation technology and capacity building for adaptation planning and implementation. This could be best achieved through a platform for technology transfer and regional information sharing.</li> </ul>
Dominican Republic	<ul style="list-style-type: none"> <li>• The National Development Strategy includes considerations for climate change. However, these considerations are not currently actionable.</li> <li>• A national council of climate change was established in 2008. This has supported the development of a Strategic Plan for Climate Change (completed), a Climate Change Law (in draft) and a National Policy on Climate Change (currently pending approval). There is also currently a National Action Plan for Adaptation 2020.</li> <li>• There is a need for development of project proposals. This requires support and training on conducting cost-benefit analyses.</li> <li>• A national coordination mechanism has been instituted, but requires strengthening to effectively manage inter-sectoral collaboration.</li> </ul>
Eastern European States	<ul style="list-style-type: none"> <li>• Efficiency and sharing of information should be key factors in determining the approach to capacity building, especially for (sub-)/ regional activities.</li> <li>• M&amp;E of adaptation benefits is problematic. Analysis of loss and damages is routinely undertaken, but M&amp;E of social benefits is generally not, owing to political and other sensitivities.</li> <li>• It was reiterated that emphasis during the NAP process should be on development of an action plan for climate-resilience, rather than merely development of an additional set of guidelines and reports.</li> <li>• There is a need to identify means of obtaining financial assistance for implementation of adaptation priorities.</li> <li>• There are challenges with the coordination of initiatives for planning and implementation of adaptation priorities. For example, government ministries may be unaware of what donor-driven projects are doing within their sectors. In addition, there is often duplication of project activities resulting in inefficiencies.</li> <li>• There is ongoing support (e.g. GIZ, EU), which the SCCF project must seek complementarity and cooperation.</li> <li>• Must ‘progress constructively’, building on what’s already been done.</li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
Ecuador	<ul style="list-style-type: none"> <li>• Ecuador is currently developing a joint strategy for adaptation and mitigation. This is in process and not yet finalized.</li> <li>• Inter-ministerial coordination is not optimal. There is an inter-ministerial commission on climate change but it is not effective.</li> <li>• Ecuador is interested in building technical capacities for vulnerability assessments for different sectors and development of adaptation strategies based on such analyses.</li> <li>• Guidance and training must be adjusted to the reality in the region, not a standard training product</li> <li>• There are strong technical capacities in many sectors, however, it is not clear how to integrate those capacities for adaptation planning.</li> <li>• There is a policy and regulatory framework on climate change under development, but enforcement is challenging.</li> <li>• Planning for adaptation needs to be done in a reasonable timescale for policy makers to be interested in it. Too long term makes them lose interest.</li> <li>• There is interest in joint initiatives (discussion, trainings, etc.) with other countries in the region. The sub-regional/regional approach is important for knowledge sharing.</li> </ul>
El Salvador	<ul style="list-style-type: none"> <li>• The National Climate Change Plan includes inter-institutional planning for adaptation, mainstreaming of climate change, and public finance management for climate change. In addition, a portfolio of projects has been developed to reflect adaptation priorities for the soil, agriculture and forestry sectors. However, planning remains a challenge, particularly regarding the prioritisation of adaptation needs at the sub-national level.</li> <li>• Assessments of losses and damages require improved knowledge of droughts in particular. The impacts of climate change on inter alia water and roads also needs further investigation. This information is necessary to underpin the implementation of adaptation interventions that provide real and measurable benefits.</li> <li>• Adaptation plans and programmes need to be based on improved knowledge concerning factors such as: i) proper diagnosis of climate change impacts; ii) funding needs; iii) gaps in national funding and opportunities for international funds; iv) timeframes for adaptation options; and v) the selection of indicators for reporting on adaptation benefits.</li> <li>• El Salvador is considering possibilities for establishment of a Green Fund to finance adaptation interventions.</li> <li>• A concept note for the NAP process has been developed to promote access to funds. The summary of the concept note is as follows: <ul style="list-style-type: none"> <li>I. Development of tools and models to prioritize local and sectoral adaptation strategies. <ul style="list-style-type: none"> <li>• Development of models to assess impacts on agriculture, water resources, infrastructure and health.</li> <li>• Capacity development on risk management at the local level.</li> <li>• Development of a national information system to systematize local climate risks.</li> <li>• Local governance and management models.</li> </ul> </li> <li>II. Establishment and strengthening of the institutional landscape for climate change. <ul style="list-style-type: none"> <li>• Design of institutional landscape</li> <li>• Design of financial landscape</li> </ul> </li> <li>III. Mainstreaming of climate change in public policies.</li> </ul> </li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<ul style="list-style-type: none"> <li>• Mainstreaming of climate change in public policies and plans</li> <li>• Integration of climate change criteria in the planning and budgetary processes</li> <li>IV. National Adaptation Plan development</li> <li>• Identification mid and long-term adaptation needs.</li> <li>• Integration of adaptation in the national policy framework</li> </ul>
Federal States of Micronesia	<ul style="list-style-type: none"> <li>• FSM has mechanisms in place to access GEF and AF financing. However, there are difficulties in realizing this funding (delays).</li> <li>• Support is needed to strengthening capacities and developing modalities to access finance.</li> </ul>
Fiji	<ul style="list-style-type: none"> <li>• Fiji's National Climate Change Policy is at its midpoint. Lacking are action/implementation plan, parameters for coordination and monitoring, relocation guidelines for communities vulnerable to erosion, V&amp;A Assessments, biennial reporting support, and support in identifying and establishing links to other initiatives.</li> <li>• The NAP can be an opportunity to bring together sectoral plans and sectoral sub-committees under one comprehensive approach.</li> <li>• There is a preference to keep the NAP separate from National Communication support.</li> <li>• There is a preference to use local consultants, with ongoing support provided.</li> </ul>
G-77 and China	<ul style="list-style-type: none"> <li>• In SCCF project, there is a need to include elements other than NAP formulation. There must be a focus on implementation of priorities to reduce vulnerability to climate change, with linkages to finance (e.g. GCF).</li> <li>• Proliferation of guidelines on the NAP process is confusing; there is a need for coherence and rationalization. Must take stock of existing guidelines.</li> <li>• Must ensure that guidelines are in line with poverty/vulnerability reduction goals.</li> </ul>
Georgia	<ul style="list-style-type: none"> <li>• Expertise needed to train national institutions on approaches to develop NAPs that cover all sectors.</li> <li>• Needs appropriate models and tools, particularly for performing VRAs.</li> <li>• Georgia is committed to develop adaptation projects but these must be costed/budgeted to access funding from various sources. This will require a plan to develop bankable projects for climate change adaptation.</li> <li>• Partnerships such as PROVIA and the support provided for National Communications proved to be effective – a similar approach could be used for the GSP.</li> </ul>
Ghana	<ul style="list-style-type: none"> <li>• Ghana has developed a National Adaptation Strategy, identifying over 20 projects for implementation. This strategy has also become part of the national climate change policy.</li> <li>• The National Adaptation Strategy can serve as the NAP. There is a need for technical assistance to revise the National Adaptation Strategy in the light of LEG guidelines for NAPs to ensure that all NAP elements are included in the strategy.</li> <li>• Ghana has a number of strategies and project proposals on adaptation, including community-based adaptation. However, there are challenges related to access to finance for implementation.</li> <li>• There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive.</li> <li>• Must move from TA and into implementation; 'plans' already exist.</li> <li>• There is also a need for enhancing inter-ministerial coordination of adaptation issues.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Grenada	<ul style="list-style-type: none"> <li>Grenada has initiated the NAP process with GIZ and BMU.</li> <li>And there is funding available by JICA for a regional project in the Caribbean to support the development of NAPs; SCCF project must ensure collaboration with ongoing efforts.</li> </ul>
Guatemala	<ul style="list-style-type: none"> <li>There is a National Council on Climate Change. This is chaired by the President. The President's Planning Office is responsible for the operation of the climate change law.</li> <li>The development of a national plan for adaptation and mitigation of climate change is currently in its early stages. This is being supported by GIZ. The national plan will identify legal and technical instruments for promoting adaptation, as well as collating scientific and technological information to guide the design of urgent and medium-term actions.</li> <li>The "K'atun '32" is the national development plan for 2032 that includes 5 cross-sectoral strategies for addressing climate change. There is a need to align the provisions of the K'atun '32 with the national climate change plan and climate change priorities. For example, one of the goals of K'atun '32 is the reduction of vulnerability. However, this is not quantified.</li> <li>There is a need to internalise and institutionalise adaptation measures within the government budgets.</li> <li>There is also a need to improve institutional capacities, particularly those are required for international cooperation agreements such as multi-lateral environmental agreements. However, present efforts are too fragmented and government institutions don't consolidate capacity building measures. The country is therefore in need of financial and technical assistance for organising society and building capacity.</li> </ul>
Honduras	<ul style="list-style-type: none"> <li>Both the Vision 2010-2038 and the National Plan 2010-2022 include objectives related to climate change mitigation and adaptation. Moreover, the Climate Change Law was enacted in 2014. Article 1 of this law details plans to coordinate ongoing actions for addressing climate change. The Directorate for Climate Change is the technical body for planning and implementing such actions.</li> <li>A National Climate Change Strategy had existed since 2010. This articulates adaptation strategies at all levels from municipality to national/sectoral level. Article 13 of the Climate Change Law stipulates that the strategy must be complemented by a National Adaptation and Mitigation Action Plan.</li> <li>Local-level stakeholders are not using planning tools for adaptation. There is a need for guidance on the integration of climate change into planning processes.</li> <li>There is also a particular need for capacity building related to adaptation priorities in key sectors such as coffee production, forestry, livestock and agriculture.</li> </ul>
Indonesia	<ul style="list-style-type: none"> <li>Support is needed in raising public awareness climate change and having the public engaged/buy-in to adaptation action in the country.</li> <li>Finance is also needed to implement existing adaptation plans/strategies.</li> </ul>
Jamaica	<ul style="list-style-type: none"> <li>The long-term Economic Development Plan Vision 2030 includes climate change adaptation as a key outcome. Furthermore, a Climate Change Policy Framework has been developed and is due to be ratified soon.</li> <li>This work is being complemented by ongoing sectoral planning for climate change adaptation under the Sectoral Adaptation Strategy and Action Plans based on inter alia vulnerability assessments conducted as part of the SNC. This</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<p>process will be completed in 2015 and will include identification of priority options for adaptation. However, there is a need for comprehensive national spatial planning to identify priority areas for adaptation. These sectoral adaptation plans will be merged together to form the basis of the NAP in Jamaica.</p> <ul style="list-style-type: none"> <li>• There is also a need for capacity development of focal points in key ministries to support them in identifying, planning for and prioritising projects to address the effects of climate change.</li> <li>• Access to financing for adaptation needs to become more efficient. Direct access to funding is more efficient than funding from multi-lateral partners owing to lower administration costs. Concessionary loans and trust funds for small grants will also improve access to financing, especially for small-scale/local-level needs. This will allow more on-the-ground interventions. There should consequently be more focus on South-South and other sources of funding that have fewer restrictions.</li> </ul>
Kenya	<ul style="list-style-type: none"> <li>• Kenya has a medium-term adaptation policy based on the Threshold 21 model. This can form the basis for continued development of the NAP process.</li> <li>• At present, it is difficult to separate adaptation from national development planning. These two must be fully integrated.</li> <li>• Coordination mechanisms can perhaps follow those of the National Communications.</li> <li>• Guidance is needed regarding the requirements and format of the NAP.</li> </ul>
Kyrgyzstan	<ul style="list-style-type: none"> <li>• Preliminary discussions have begun between UNDP and government. Kyrgyzstan is interested in receiving support from the project.</li> </ul>
Former Yugoslav Republic of Macedonia (FYROM)	<ul style="list-style-type: none"> <li>• Hydromet has experience in <b>developing climate models</b> and different scenarios. However, further technical assistance is needed on the application of such GIS and <b>climate risk information tools in planning and implementation</b>, particularly for the health, water and biodiversity sectors.</li> <li>• Technical assistance is needed on development of <b>costed, bankable projects for implementation as a priority</b>. In particular, loss and damage assessments as well as identification of climate opportunities – e.g. combining mitigation and adaptation interventions – and adaptation costs and benefits are priorities.</li> <li>• Support is also needed for <b>M&amp;E for adaptation strategies and policies</b>. This includes development of adaptation indicators. Institutional coordination mechanisms need to identify clear roles and responsibilities for M&amp;E.</li> <li>• There is a high-level strategy on adaptation, but this is <b>not adequately mainstreamed into sectoral planning</b>, especially for agriculture. There is a need for a complementary, bottom-up approach in each sector to integrate this properly with sector-specific adaptation priorities based on an adaptation needs assessment for each sector.</li> <li>• These strategies also need to be further developed into explicit action <b>plans for implementation</b>.</li> <li>• Identification of an NIE/RIE for <b>accessing adaptation funding</b> is a priority.</li> <li>• There is need to coordinate development of new proposals for implementation of adaptation priorities with ongoing initiatives. This requires a <b>strong institutional coordination mechanism between ministries and sectors</b> that will facilitate proper linkages for strengthened inter-sectoral planning. ToRs should be developed for legislating such an institution.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Maldives	<ul style="list-style-type: none"> <li>• Existing plans are expiring and new plans are in draft form. There are transitions in political administration which could lead to changes in priorities.</li> <li>• The geographic layout of the Maldives, makes planning/implementation/M&amp;E challenging and costly</li> <li>• While external support is appreciated, it often comes with additional reporting requirements and/or restrictions, which forces shifts in established SOP, making strengthening national technical/institutional capacity a challenge.</li> <li>• Maldives only recently graduated from LDC status, and had not fully benefited from the LDCF to implement its NAP.</li> <li>• Support is needed with access to finance, including training on innovative financial mechanism (i.e. PES).</li> <li>• Technical support is also needed in the areas of a) climate scenarios described in IPCC reports; b) downscaling of global climate models to regional and local levels; and c) computational support for developing and maintaining country-specific climate scenarios and databases.</li> </ul>
Marshall Islands	<ul style="list-style-type: none"> <li>• Marshall Islands has undertaken considerable national dialogue concerning climate change</li> <li>• There is a need for soliciting views and interests from the public to ensure harmonisation of adaptation planning with existing systems and processes.</li> <li>• Technical assistance is required, with assessments of climate change finance.</li> <li>• Assistance is required with the development of a high-level coordination mechanism, such as that initiated through SPREP, as elected officials are not always aware of climate change and its implications for development planning.</li> <li>• The Pacific Environment Forum could be a means of enhancing sub-regional dialogue and coordination.</li> </ul>
Mexico	<ul style="list-style-type: none"> <li>• Mexico has enacted a general law on climate change in 2012, has a national policy on climate change, as well as a combined mitigation/adaptation strategy.</li> <li>• National planning for adaptation is coordinated by the Council for Climate Change as well as the Inter-Secretarial Commission on Climate Change (which comprises all 14 Secretaries of State). The National Institute of Ecology and Climate Change provides technical input into adaptation planning.</li> <li>• Focus on adaptation planning is being shifted towards state- and municipal-level programmes for climate change, based on state risk atlases and with an emphasis on translating planning into action.</li> <li>• Mexico has identified 77 adaptation interventions that have been budgeted. Vulnerability mapping has proceeded, and includes hazard maps for drought, heat and flood risks. However, a more comprehensive diagnosis of the country's adaptation needs is required.</li> <li>• A methodology provided by GIZ is being used to prioritise actions that reduce vulnerability, provide benefits and are economically viable.</li> </ul>
Mongolia	<ul style="list-style-type: none"> <li>• Mongolia expressed concern in the (perceived) lack of flexibility of NAP process and noted that it has become an “extra plan” rather than being integrated/mainstreamed into existing plans.</li> <li>• Guidance is needed on the NAP process, to better understand how it will enhance existing plans and efforts.</li> <li>• Additional finance is needed to fully mainstream climate change into the planning process.</li> </ul>
Montenegro	<ul style="list-style-type: none"> <li>• NAP support must build on prior efforts and experience (e.g. coordination mechanisms for National Communications).</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Nauru	<ul style="list-style-type: none"> <li>• Nauru's JNAP is in the process of finalization. This will serve as a platform for the NAP process, or the NAP itself.</li> <li>• There is need for assistance with implementation of adaptation priorities outlined in the J-NAP, as well as M&amp;E of adaptation activities.</li> </ul>
Nicaragua	<ul style="list-style-type: none"> <li>• National development plans include environmental protection, adaptation and mitigation.</li> <li>• There is a national strategy for climate change. In addition, there are sectoral plans for the coastal, forest and water resources sectors.</li> <li>• Nicaragua has been successful in promoting private sector investment into renewable energy. This needs to be replicated for adaptation.</li> </ul>
Nigeria	<ul style="list-style-type: none"> <li>• Support is needed to implement priorities of existing adaptation strategies/plans, rather than support for a new planning process.</li> </ul>
Pakistan	<ul style="list-style-type: none"> <li>• Pakistan is working on CPEIR with support from UNDP, the Ministry of Finance is engaged. This is closely linked to the NAP process.</li> <li>• Additional support will be needed to eventually implement the CPEIR recommendations.</li> </ul>
Palau	<ul style="list-style-type: none"> <li>• Draft Climate Change Strategy to be completed in Dec. 2014, with support from SPC, EU, GIZ, USAID, AusAID, NZ Aid. This will be followed by a JNAP</li> <li>• There are a range of needs: <ul style="list-style-type: none"> <li>○ Sensitization of ministries;</li> <li>○ Inter-ministerial dialogue, especially on critical issues: coastal erosion, food security, role and needs of women in agriculture;</li> <li>○ Connecting tailored science to sectors and by geography (challenges in Northern part of countries differ significantly to Southern part); access to seasonal predications, tailored climate/weather information</li> <li>○ Implementation strategy/plan, including links to finance; and</li> <li>○ Raising public awareness of behaviour and climate change.</li> </ul> </li> </ul>
Panama	<ul style="list-style-type: none"> <li>• Panama has not yet started its NAP process, but expects to start in parallel with the TNC.</li> <li>• Needed are greater capacities in the relevant institutions, and funds for formulation activities.</li> </ul>
Philippines	<ul style="list-style-type: none"> <li>• Climate change must consider disaster risk reduction. The budget for construction comes from the national government and since only 5% is allocated for disaster preparedness, cities are unable to rebuild towards long term climate resilience.</li> <li>• Improved access to finance is needed.</li> </ul>
Samoa	<ul style="list-style-type: none"> <li>• Samoa is already making significant efforts to make country systems more robust in terms of monitoring and reporting climate change investments, stemming from recommendations from the PPCR (World Bank). Samoa has already completed a CPEIR and is now working on launching the NAP process under the recently approved LDCF project. It is expected that through these efforts, the capacities of sector coordinators are strengthened to measure integration and coordination of climate resilience.</li> <li>• The national monitoring and reporting framework will be developed based on the PPCR core indicators by end of 2014.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Serbia	<ul style="list-style-type: none"> <li>• Sensitization of climate change and adaptation planning is needed for decision-makers. This results in various sectors not engaging in adaptation planning as it is not a political priority. For example, there is limited recognition of flooding as an adaptation concern.</li> <li>• Technical assistance is required on collection and application of climate risk information, particularly for floods, droughts and other extreme events.</li> <li>• No country has an NIE for accessing support from the Adaptation Fund. Creation of a RIE may be a better approach.</li> <li>• Implementation of adaptation interventions is a priority, access to finance is needed.</li> </ul>
South Africa	<ul style="list-style-type: none"> <li>• Assistance is needed on enhancing DRM and the functioning of EWS to promote adaptation.</li> <li>• There is a need for technical assistance on climate change projections as well as identification of potential options for adaptation interventions.</li> <li>• Technical assistance is required to package adaptation priorities as bankable projects. This also requires the development of an action plan to deliver the required interventions in a short period. Technical assistance is needed to identify packages of interventions and develop these into fine-scale adaptation plans. This should be done at different levels (national, provincial and local) and developed into bankable strategies to leverage funding</li> <li>• Further assistance is required concerning integration of climate change into critical sectors, especially: a) water; b) health; c) agriculture; d) rural development; and e) biodiversity. There is also need for assistance in integration of adaptation in other areas of national and local policies. In particular, local government is in need of additional capacity development.</li> </ul>
Sri Lanka	<ul style="list-style-type: none"> <li>• Support is needed in implementing and monitoring adaptation action, specifically finance for implementation and a more streamlined, comprehensive M&amp;E framework.</li> </ul>
Thailand	<ul style="list-style-type: none"> <li>• Thailand has initiated the process with the document, “Laying the Groundwork for Development a Thailand National Adaptation Plan. This details the activities and associated costs of needed assessments and analysis. Funding has been provided by national institutions with stocktaking support provided by GIZ.</li> <li>• Challenges raised include: <ul style="list-style-type: none"> <li>- it is important that the NAP roadmap keeps a realistic scope and realistic timeframe, rather than being too ambitious. Previous national assessments have proven too broad and therefore, difficult to implement; and leads to transparency and accountability issues</li> <li>- training is important but more important is to have strategies in place to ensure the right people are identified to be trained; and</li> <li>- when it comes to other sectors plans, ONEP or the national authority on CC should not impose plans on them; each ministry needs to own their plans; it has been very challenging to engage other sectors in CCA.</li> </ul> </li> <li>• It is likely that the Elements A (LEG Guidelines) will be completed soon. Support will be needed for Elements B and C of the NAP process, namely: national-level vulnerability mapping; prioritization of adaptation options in different sectors; and formulation of NAP roadmap.</li> </ul>
Trinidad and Tobago	<ul style="list-style-type: none"> <li>• Climate change strategies for the Trinidad and Tobago have been completed, including a national climate change policy. Implementation has also begun for various projects that address short- to medium-term adaptation concerns.</li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
	<p>However, there is a need for application of vulnerability analyses to move towards more evidence-based planning and implementation. For example, software tools could be used to regulate more climate-resilient development planning.</p> <ul style="list-style-type: none"> <li>• There are moves towards including ecosystem services into the GDP, which could serve as a basis for enhanced action on climate change. Development planning is also starting to include climate change considerations more comprehensively.</li> <li>• A Ministerial Coordination Committee facilitates integration of climate change into national planning for sustainable development. However, there is need a strong institutional coordination mechanism for all actors (e.g. agencies, donors, government institutions) to coordinate technical assistance, data sharing and action.</li> <li>• Major constraints for medium- to long-term adaptation planning are limited data availability and few sectoral models for vulnerability and impact assessments. Consequently, technology transfer and capacity building is required for improved data collection and sharing.</li> </ul>
Turkmenistan	<ul style="list-style-type: none"> <li>• Discussions ongoing between UNDP and government to develop a SCCF project, including aspects to support the NAP process. Information collection and assessments regarding needs and challenges related to the NAP process are ongoing, and details will become more clear following these consultations.</li> </ul>
Uruguay	<ul style="list-style-type: none"> <li>• Uruguay is concluding the execution of the project “Implementing Pilot Climate Change Adaptation Measures in Coastal Areas of Uruguay” under the GEF Strategic Priority for Adaptation. Its objective is to put in place adaptive land planning and coastal management policies and practices to enhance the resilience of Uruguay’s coastal ecosystem to climate change. To achieve this, different adaptation measures were identified and are being implemented at different pilot sites. Such measures include scientific information and knowledge; awareness raising; monitoring systems; institutional building and management; and biophysics interventions (soft adaptation technologies).</li> <li>• The government is planning to build on the results and experiences of the SPA project to launch a Coastal NAP process that will contribute to replicate, scale up and sustain the adaptation measures implemented by the project to the whole coastal sector. Such coastal NAP would be of great relevance as being the first experience in the country and the basis for the elaboration of other sectorial NAPs.</li> <li>• In order to develop the Coastal NAP process it would be necessary to maintain and strengthen the institutional and technical capacities generated by the SPA project. And to identify and address information and knowledge gaps.</li> <li>• The Technical guidelines for the national adaptation plan process, developed by the LDCs Expert Group, will guide the Coastal NAP process. Thus, the NAP GSP could facilitate the exchange of experiences with the application of the guidelines by LDCs, through the organization of workshops. For example, it could also provide support: for the planning stage; to access funding for the implementation stage; and for the reporting, monitoring and review stage.</li> </ul>
Viet Nam	<ul style="list-style-type: none"> <li>• In Viet Nam, estimating costs of adaptation is a significant challenge, as is monitoring. Technical assistance is needed in costing adaptation and guidance/training to apply and access funds.</li> <li>• Greater engagement is needed with sub-national government for effective an NAP.</li> </ul>





Development Partners	Consultation Notes
EU	<ul style="list-style-type: none"> <li>• Considerable progress has been made on the provision of guidelines and training for the NAP process. However, there is a need for increased coherence in these guidelines to avoid duplication and confusion.</li> <li>• LDCs have been successful in establishing national coordination mechanisms and institutional arrangements to facilitate the NAP process.</li> <li>• The two GSPs on the NAP process need to collaborate and coordinate efforts to ensure efficiencies with existing efforts</li> <li>• EU is committed to support LDCs and non-LDCs.</li> </ul>
Japan	<ul style="list-style-type: none"> <li>• Through JICA, Japan is providing support through tools and methodologies for adaptation planning, particularly on the national systems for climate risk information.</li> <li>• Collaboration should be sought with JICA efforts in the area of adaptation technologies (linkages with Adaptation Committee's TEC).</li> </ul>
Norway	<ul style="list-style-type: none"> <li>• The NAP GSP should strengthen coherence and capacity building of national institutional arrangements. The should be reflected in technical guidelines on the NAP process.</li> <li>• All national planning process for adaptation need to be aligned to avoid duplication and fragmentation of adaptation planning and implementation. This requires strong coordination mechanisms and cross-sectoral approach.</li> <li>• There is no need to revise the current NAP guidelines. Instead there should be enhanced dialogue on the NAP process, the various elements of the NAP process, and gender considerations.</li> <li>• NAPs should be anchored in and informed by implementation of concrete, on-the-ground actions. This necessitates additional financing for NAP implementation.</li> <li>• Finance needed for non-LDCs for NAP implementation.</li> </ul>
SPREP	<ul style="list-style-type: none"> <li>• JNAPs will be the entry point for many countries in the Pacific</li> <li>• JNAPs, which merge CCA with DRM, have been completed in 7 countries, and 3 more are in draft form</li> <li>• Areas where NAP support can build on JNAPs: <ul style="list-style-type: none"> <li>○ Implementation plans – prioritizing, sequencing, and costing of activities;</li> <li>○ South-South peer training;</li> <li>○ Quantifying costs, true cost of adaptation;</li> <li>○ Climate models; and</li> <li>○ Ensuring readiness and enhance capacity to access finance.</li> </ul> </li> <li>• SPREP is committed to supporting PICs.</li> </ul>
US	<ul style="list-style-type: none"> <li>• There is a need to recognize common challenges and opportunities to bridge gaps between immediate and urgent needs vis-à-vis medium- to long-term adaptation needs. This will allow countries to identify entry points for enhanced planning and action on adaptation.</li> </ul>

## Annex 21: Risk Analysis

#	Description	Date Identified	Type <sup>69</sup>	Impact & Probability <sup>70</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Low predictability of finance for advancing the NAP process beyond the project duration	PPG	Financial, Political	P: 4 I: 5	<p>Many non-LDCs expressed concerns on access to – and dependence on – donor funding. The project will thus focus on supporting national planning and budgeting to integrate climate change, and engaging the private sector in adaptation activities.</p> <p><u>National planning and budgeting</u> Through inter-ministerial dialogue, the project will help sensitise planning and finance ministries to the need to integrate climate change into planning and budgeting, as a means of addressing development needs. Training on economic analysis will enable policy makers to make informed decisions in the face of scarcity of financial resources for adaptation.</p>	UNDP, UNEP	UNDP, UNEP	Oct 2014	

<sup>69</sup> Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

<sup>70</sup> Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Date Identified	Type <sup>69</sup>	Impact & Probability <sup>70</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					<p><u>Engaging the private sector</u>  Non-LDCs cover a broad range in terms of economic development and private sector potential. The project will pilot a platform for public-private partnership, which will link adaptation ideas with private sector investment. Best practices and lessons learned can lead to the replication of the platform in other countries.</p>				
2	Coordination with development partners on NAP-related support activities	PPG	Operational	P: 1 I: 3	This project alone cannot support the NAP process in all non-LDCs. However, consultations with development partners indicate that programmes are underway which indirectly support the NAP process by addressing challenges expressed by non-LDCs. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs.	UNDP, UNEP	UNDP, UNEP	Oct 2014	

#	Description	Date Identified	Type <sup>69</sup>	Impact & Probability <sup>70</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
3	Effective coordination at national level	PPG	Organizational	P: 3 I: 4	Embarking on a comprehensive NAP process requiring cross-sectoral collaboration, was seen as daunting by many countries. The project will facilitate this process in a number of non-LDCs by providing support towards developing a NAP roadmap, which will: i) define roles based on country consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation.	UNDP, UNEP	UNDP, UNEP	Oct 2014	



## PROJECT DOCUMENT

<b>1.1 Project title</b>	Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)	
<b>1.2 Project number</b>	01247	
<b>1.3 Project type</b>	FSP	
<b>1.4 Trust Fund</b>	SCCF	
<b>1.5 Strategic Objective</b>	Climate change adaptation	
<b>1.6 UNEP priority</b>	Climate change adaptation;	
<b>1.7 Geographical scope</b>	Global:	
<b>1.8 Mode of execution</b>	Internal execution	
<b>1.9 Project executing organisation</b>	UNEP ROAP	
<b>1.10 Duration of project</b>	36 months Commencing: 01/01/2015 Technical Completion: 31/12/2017	
<b>1.11 Cost of project</b>	<b>US\$</b>	<b>%</b>
Cost to the SCCF <sup>1</sup>	4,500,000	19
Co-financing		
<b>Grant</b>		
UNITAR	3,000,000	13
UNEP	800,000	3
UNDP	15,000,000	64
<i>Sub-total</i>	18,800,000	81
<b>Total</b>	<b>23,300,000</b>	<b>100</b>

<sup>1</sup> This is a joint UNEP UNDP project with a total budget of US\$4,500,000; each agency is responsible for the administration of US\$2,250,000 of SCCF funding.

### 1.12 Project summary

Climate change and associated climate variability pose a challenge to achievement of poverty reduction and sustainable development goals in non-LDC developing countries<sup>2</sup>. National and sectoral planning processes provide a central means by which development priorities are formulated, budgeted and implemented. However, such planning processes generally have not included considerations of climate change risks and opportunities in a systematic manner. Consequently, there is an increased need to consider medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for countries to mainstream climate change into development planning. This process will assist developing countries to identify, finance and implement appropriate measures to address medium- to long-term adaptation needs within relevant sectors. However, a number of barriers constrain developing countries from initiating and sustaining their NAP processes as detailed below.

- Planning ministries in developing countries seldom have access to well-organised and robust scientific data or evidence-based technical guidelines on managing climate change risks.
- The mandate for addressing climate change often lies within ministries of environment/natural resources rather than ministries of development planning. In addition, planning officials are generally not sensitised on the complex nature of climate change and its associated effects. Consequently, planning ministries are usually not capacitated to include climate change risks within development planning processes.
- There is often a disconnect between political cycles, planning cycles and the long-term nature of climate change concerns. As a result, climate-resilient development is not considered as a national priority and budgetary support to advance adaptation planning and implementation is consequently not prioritised.
- At present, there are few collaborative partnerships pertaining to addressing adaptation needs that exist between developing country governments and global/regional institutions, networks and platforms.

To address these barriers, SCCF resources will be used to establish a Global Support Programme (GSP) to promote medium- to long-term planning for climate change adaptation in non-LDC developing countries. Building on a number of relevant national and subnational level initiatives, the GSP will promote NAP processes that are country-driven, continuous, participatory, progressive and iterative. In addition, these processes will be multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and commonly agreed good practices. As such, the GSP will address a gap in the international community's efforts towards climate change adaptation.

Through the GSP, SCCF resources will be used to establish a support mechanism focused on three main pillars, namely: i) institutional support; ii) technical capacity-building; and iii) knowledge brokerage. This support will be provided to all non-LDC developing countries upon request and will be flexible enough to be tailored to each country's needs and national circumstances. The SCCF-financed GSP will therefore assist non-LDC developing countries to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of

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<sup>2</sup> Non-LDCs refers to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.



climate change into medium- to long-term development frameworks. The project will be implemented by UNEP and UNDP and built on existing partnerships built and implementation arrangements put in place under the existing LDCF-funded project 'Assisting Least developed Countries with country-driven processes to advance National Adaptation Plans'.

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**ACRONYMS AND ABBREVIATIONS**

AAKNet	Africa Adaptation Knowledge Network
ADB	Asian Development Bank
AC	Adaptation Committee
ADMIRE	Adaptation Mitigation Readiness Project
AF	Adaptation Fund
ALM	Adaptation Learning Mechanism
AMCEN	African Ministerial Conference on the Environment
APAN	Asia Pacific Adaptation Network
APR	Annual Project Review
APRC	Asia Pacific Regional Centre
AR5	Fifth Assessment Report
ASAP	Adaptation for Smallholder Agriculture Programme
BMUB	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
CAF	Banco de Desarrollo de América Latina
CAF	Cancun Adaptation Framework
CaPP	The Climate Protection Programme for Developing Countries
CARICOM	Caribbean Community Secretariat
CBD	Convention on Biological Diversity
CC:Learn	One UN Training Platform on Climate Change
CCA	Common Country Assessment
CCAU	Climate Change Adaptation Unit
CEEPA	Centre for Environmental Economics and Policy in Africa
CGE	Consultative Group of Experts on National Communications
COP	Conference of the Parties
CPEIR	Climate Public Expenditure and Institutional Review
CTCN	Climate Technology Centre and Network
DEPI	Division for Programme Implementation
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
EbA	Ecosystem-based Adaptation
ECCA	Capacity Building Programme on the Economics of Climate Change Adaptation EOU Evaluation Office of UNEP
EU	European Union
FAO	Food and Agriculture Organisation
GAN	Global Adaptation Network
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für International Zusammenarbeit
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
HNAP	health component of the National Adaptation Plan
IPCC	Intergovernmental Panel on Climate Change
ICCCAD	International Centre for Climate Change and Development
IFAD	International Fund for Agricultural Development
JICA	Japanese International Cooperation Agency
JNAP	Joint National Action Plan
LDC	Least Developed Country
LDCF	Least Developed Country Fund

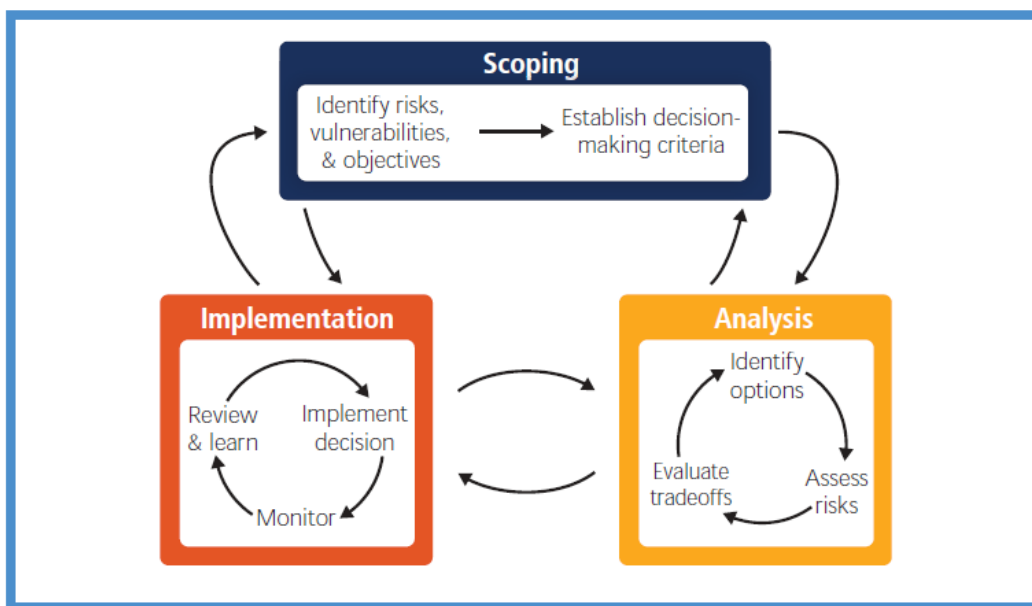
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MRV	Monitoring, Reporting and Verification
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategic Action Plan
NC	National Communication
NCSAs	National Capacity Self-Assessments
NGO	Non-governmental Organisation
NWP	Nairobi Work Programme
PB	Project Board
PIC	Pacific Island Country
PIFS	Pacific Islands Forum Secretariat
PIR	Project Implementation Report
PoW	Programme of Work
PPG	Project Preparation Grant
PROVIA	Programme of Research on Climate Change Vulnerability, Impacts and Adaptation
QPR	Quarterly Progress Reports
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SID	Small Island Developing State
SLR	sea-level rise
SNAP	Stocktaking for National Adaptation Planning
SOPAC	Secretariat of the Pacific Community Applied Geo Science and Technology Division
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
TE	Terminal Evaluation
TEC	Technical Executive Committee
TNA	Technology Needs Assessment
ToR	Terms of Reference
TSU	Technical Support Unit
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
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
UNOPS	United Nations Office for Project Services
UNU	United Nations University
USAID	United States Agency for International Development
USP	University of the South Pacific
VIA	vulnerability, impacts and adaptation
WARN CC	West Asia Regional Network on Climate Change
WHO	World Health Organisation

## SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

### 2.1. Background and context

Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. Increasing temperatures, changing precipitation patterns, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health<sup>3</sup>. Moreover, these climate change effects are predicted to become increasingly severe. Without improved planning and preparedness, countries' capacity to manage the impacts of climate change will be overwhelmed – compromising years of progress towards the Millennium Development Goals (MDG)<sup>4</sup> and other socio-economic development priorities.

Sustainable development necessitates appropriate planning for adaptation to the effects of climate change. Per the Intergovernmental Panel on Climate Change Fifth Assessment Report (IPCC AR5), adaptation choices in the near term will affect the risks of climate change throughout the 21st century.



**Figure 1: Iterative Planning Process to Build Climate Resilience<sup>5</sup>**

At present, national and sectoral planning processes in non-Least Developed Countries (non-LDCs)<sup>6</sup> have not fully integrated climate change risks and opportunities in an iterative and

<sup>3</sup> IPCC. 2014. Summary for policymakers. In: Field, C.B., V.R. Barros, D.J. Dokken, K.J. Mach, M.D. Mastrandrea, T.E. Bilir, M. Chatterjee, K.L. Ebi, Y.O. Estrada, R.C. Genova, B. Girma, E.S. Kissel, A.N. Levy, S. MacCracken, P.R. Mastrandrea, and L.L. White (eds.). 2014. *Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects*. Contribution of Working Group II to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1-32.

<sup>4</sup> United Nations. 2007. *The Millennium Development Goals Report*.

<sup>5</sup> IPCC AR5, Climate Change 2014: Impacts, Adaptation and Vulnerability (Figure SPM.3)

comprehensive manner. National and sectoral planning processes provide a central means by which national development priorities are formulated, budgeted and implemented.

Non-LDCs have previously received support to prepare their National Communications (NCs) and Technology Needs Assessments (TNAs) through the UNEP/UNDP National Communications Support Programme and the Global TNA project, respectively. Through these processes, non-LDCs have identified adaptation priorities as well as developed rudimentary adaptation plans and programmes. However, the predicted effects of climate change on development goals necessitate increased consideration of medium- to long-term planning for climate change adaptation within the framework of national development priorities. In response to this, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for LDCs<sup>7</sup> and non-LDCs<sup>8</sup> to mainstream climate change into development planning.

At the 17<sup>th</sup> Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant organisations were requested to submit information on their support of the NAP process and to consider the establishment of NAP support programmes according to their respective mandates. The COP-17 requested that the Adaptation Committee (AC) include within its workplan modalities of support for LDC and non-LDC Parties to plan, prioritise and implement their national adaptation planning measures. The following activities to support non-LDCs were included in the AC workplan and approved during COP-18 (Doha)<sup>9</sup>:

- i) establish an *ad hoc* group – in collaboration with relevant organizations and experts – to develop modalities and guidelines for NAP processes in non-LDC developing countries for consideration by the AC at its second meeting;
- ii) further consider developing modalities and guidelines to support non-LDC developing countries in the planning, prioritisation and implementation of national adaptation planning measures;
- iii) establish a database or clearing house-type mechanism for information related to national adaptation planning;
- iv) communicate with Parties, relevant bodies, programmes and institutions with a view to collecting and compiling relevant information for national adaptation planning; and
- v) identify good practices for integrating adaptation into national development policies, processes and actions in collaboration with the Least Developed Countries Expert Group (LEG) and the Nairobi Work Programme (NWP) on impacts, vulnerability and adaptation to climate change.

In Doha, the COP-18 requested the Global Environmental Facility (GEF) to consider how to support non-LDCs through the Special Climate Change Fund (SCCF) to advance their NAP processes<sup>10</sup>. In Warsaw, the COP-19 requested the GEF to further specify its progress in responding to the above request<sup>11</sup>. As a result, at its 14<sup>th</sup> meeting in June 2013 the LDCF/SCCF Council endorsed the document GEF/LDCF.SCCF.14/06, *Operationalizing Support to the Preparation of the National Adaptation Plan Process in Response to Guidance*

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<sup>6</sup> Non-LDCs refers to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

<sup>7</sup> Decision 1/CP.16 paragraph 15

<sup>8</sup> Decision 1/CP.16 paragraph 16

<sup>9</sup> Decision 11/CP.18.

<sup>10</sup> Decision 9/CP.18, paragraph 1

<sup>11</sup> Decision 6/CP.19

from the United Nations Framework Convention on Climate Change (UNFCCC) COP<sup>12</sup>. This SCCF-financed project is a response to these calls from the COP to the GEF to support non-LDCs in the preparation for the NAP process.

A medium- to long-term adaptation planning process requires that non-LDCs build on the lessons learned from many past and current efforts in several respects, notably institutionally, technically, strategically and operationally. In particular, the institutional arrangements for this process need to facilitate comprehensive and iterative reviews of medium- to long-term climate change vulnerabilities and climate-sensitive development needs<sup>13</sup>. These reviews also need to be integrated into existing national development planning processes, rather than being stand-alone, one-off exercises. In this way, adaptation needs are more likely to become mainstreamed within national, sectoral and local (i.e. community-level) development strategies. Such an approach will facilitate: i) appropriate planning, budgeting and financing of adaptation interventions; ii) the establishment of mechanisms for iterative and continuous monitoring and review of the success of interventions; and iii) the capturing and dissemination of lessons learned to further refine and strengthen the NAP process.

## 2.2. Threats, root causes and barrier analysis

### *The problems to be addressed by the project*

The problem that the project will address is that **many non-LDCs do not presently have the requisite coordination mechanisms, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative process to consider climate change in national development planning.** Given the current and emerging detrimental effects of climate change, addressing these knowledge and capacity gaps is urgent.

Further threats to achieving effective adaptation planning and root causes underlying existing shortfalls in institutional and technical capacity are described below.

### **Climate-change related threats**

**The multi-faceted and complex nature of climate change** requires it to be integrated into medium- to long-term planning across all sectors and at all levels of government in a coordinated manner. However, many non-LDCs are poorly equipped to manage climate change risks because they have limited institutional and/or technical capacities to plan for and adapt to the current and predicted effects of climate change. Consequently, the existing medium- to long-term planning processes in non-LDCs generally do not: i) fully consider the multiple risks and stresses of climate change affecting human, social, physical, natural and financial capital; or ii) apply adaptive management strategies to livelihood options and development plans given the complexity and uncertainty of climate change effects.

### **Non-climate change related threats**

**Budget coordination.** Limited coordination of budget across related sectors (e.g. water and agriculture) constrains adaptation planning and implementation in the medium- to long-term.

<sup>12</sup> Available online: [http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF\\_.14-06%2C%20Operationalizing%20Support%20to%20the%20Preparation%20of%20the%20NAP%20Process%20in%20Response%20to%20Guidance%20from%20the%20UNFCC.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF-LDCF.SCCF_.14-06%2C%20Operationalizing%20Support%20to%20the%20Preparation%20of%20the%20NAP%20Process%20in%20Response%20to%20Guidance%20from%20the%20UNFCC.pdf)

<sup>13</sup> FCCC/SBI/2011/11



Current budget allocations are done largely in isolation within line ministries. Because of this, adaptation planning remains uncoordinated and cross-sectoral climate change impacts are not adequately budgeted for.

**Budget shortfalls and limited access to funding.** Non-LDCs have multiple priorities for socio-economic development and limited national budgets. In this shortfall, budget allocations that focus on immediate economic growth or politically powerful issues – such as job creation and housing – are prioritised over climate change adaptation. Furthermore, access to international donor funding has been limited through both the: i) amount of funding available in comparison to the number of non-LDCs; and ii) capacity of non-LDCs to develop ‘bankable’ projects to access these funds. This limited capacity to develop ‘bankable’ projects also contributes to the limited number of public-private partnerships to finance medium- to long-term adaptation in non-LDCs.

### Preferred response

Whether considering urgent and immediate adaptation needs or medium- to long-term planning for adaptation, the overall objective of adaptation action remains the same, *viz.* reducing vulnerability to the impacts of climate change by minimising, reducing or avoiding risks as well as enhancing the capacity to adapt to climate change. Parties to the UNFCCC have defined a NAP as a continuous, progressive and iterative process to enable parties to identify, implement and communicate their vulnerabilities and adaptation actions at the national, sectoral and local levels as well as within the international, multi-lateral process of the Convention. NAPs provide an opportunity to strengthen adaptive capacity, including those elements related to capacity building for development planning.

The key principles guiding the NAP process are:

- participatory, country-owned, country-driven and fully transparent;
- multidisciplinary, leading to integration of adaptation into development;
- complementary to existing plans, programmes and mechanisms;
- oriented towards sustainable development;
- guided by sound environmental management;
- guided by gender-sensitive approaches;
- considerate of vulnerable groups, communities and ecosystems;
- guided by best available science;
- cost-effective in the wider context of sustainable development; and
- iterative, flexible, dynamic and continuous with clearly set time frames<sup>14</sup>.

The **preferred response** is to advance the NAP process through **developing technical expertise, improving coordination mechanisms and promoting the sharing of knowledge and best practices among non-LDCs**. This would support non-LDCs to integrate adaptation considerations into existing policies, strategies and planning processes for medium to long-term development, in some cases building on already existing nationally owned processes. The preferred solution would see climate change adaptation policy, strategies and planning procedures being **governed appropriately** (i.e. country-driven, gender-sensitive and transparent), **embedded in institutions across a range of scales** (i.e. local to national) and being **evidence-based** (i.e. using the best available scientific data and robust technologies).

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<sup>14</sup> FCCC/SBI/2011/12

To achieve the preferred response, a number of **barriers** will need to be addressed. These are as follows:

#### *Institutional Coordination Mechanisms*

Integrating adaptation into medium- to long-term development planning requires an institutional framework that promotes cross-sectoral and national/sub-national coordination. The effectiveness of current coordination mechanisms differs across developing countries. These are often inadequate for the multi-sectoral and multi-level planning that is required for medium- to long-term adaptation planning. Currently, the mandate for addressing climate change often lies within the ministries of environment/natural resources. Effective integration of climate change adaptation planning, however, requires a coordinated approach among multiple ministries. For example, integrating climate change adaptation into plans for the water sector typically involves other sectors such as finance, planning, infrastructure, agriculture and health at both national and sub-national levels.

#### *Technical Capacity for Adaptation Planning*

A key distinction between LDCs and non-LDCs is that most non-LDCs have not been required to identify priorities for climate change adaptation in the short-term (e.g. through National Adaptation Programmes of Action (NAPAs))<sup>15</sup>. Although many non-LDCs have begun adaptation planning in the absence of a NAPA (see Annex 20), these countries have not benefitted from the technical capacity building for adaptation that has been provided through NAPA-catalysed projects e.g. LDCF projects.

Non-LDCs have varying levels of technical capacity for adaptation planning. For many, this limited experience specific to including adaptation priorities within policy frameworks, is evident by the lack of necessary technical capacity to a) appropriately apply policy guidance on climate change adaptation planning and b) perform the necessary assessments and analyses to inform medium- to long-term adaptation planning and budgeting. Technical capacity, such as the skills to apply up to date climate models or undertake a cost-benefit analysis, is needed to strengthen integration of medium- to long-term considerations for climate change adaptation into development planning as well inform the design of 'bankable' adaptation interventions for implementation at the national and sub-national level across all sectors.

Technical capacity is further challenged by the issue of staff retention. This is a result of various factors including *inter alia* large wage differentials between the public and private sector. High turnover of government personnel results in a limited numbers of appropriately trained personnel to perform technical assessments and tasks and loss of institutional memory, including the loss of data needed for developing climate scenarios.

#### *Access to Finance*

The funding required for mitigation, adaptation, and technology is considerable. In developing countries, mitigation could cost \$140 to \$175 billion per year over the next 20 years (with associated financing needs of \$265 to \$565 billion); over the period 2010 to 2050 adaptation investments could average \$30 to \$100 billion a year. These figures can be compared to the

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<sup>15</sup> Some non-LDCs that have recently graduated from the LDC group have developed NAPAs, these should serve a foundation documents for the NAP. Countries include Cape Verde, the Maldives and Samoa.

roughly \$100 billion per year made available for broader development assistance<sup>16</sup>. This funding gap is especially wide in non-LDCs which have limited access to multi-lateral financial support for adaptation initiatives<sup>17</sup>.

Investment in adaptation in non-LDCs is therefore largely dependent national public finance. Improving use of public funds for adaptation will require improvements to the efficiency and effectiveness of project design and implementation - maximizing results with limited financial resources.

Given the considerable funding necessary for adaptation, innovation is necessary to diversify sources of funding for adaptation and create new revenue streams. Innovative financial schemes (e.g. green bonds) and incentivizing private sector investment, however, are both areas which have been underexplored in most non-LDCs.

#### *Access to Information and Knowledge*

A number of international tools, methods and guidelines exist for adaptation planning and the NAP process. However, these are often not applied because they are not readily available to, or widely known by, technical staff in non-LDCs; and/or government staff in non-LDCs often do not have the necessary technical skills to interpret and apply these tools, methods and guidelines. When applied correctly, these tools, methods and guidelines can provide support to technical staff for using climate information to inform sector-specific adaptation plans across various sectors and levels of government in a manner that is cost-effective and socially appropriate.

Current sharing of knowledge, best practices and lessons learned through partnerships, platforms and outreach programmes is also limited among developing countries. Such an exchange of knowledge, best practices and lessons learned – particularly South-South and North-South exchanges – would catalyze the NAP process.

Knowledge exchange is particularly critical for regions in which a collaborative approach to climate change adaptation is needed (e.g. the Mekong River Basin and the Ganges-Brahmaputra-Meghna River Basin). Where platforms for knowledge exchange do exist, they are somewhat underutilized. Such platforms include the Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean (REGATTA), Africa Adaptation Knowledge Network (AAKNet), West Asia Regional Network on Climate Change (WARN CC), Asia Pacific Adaptation Network (APAN), Adaptation Learning Mechanism (ALM) and Global Adaptation Network (GAN). Furthermore, existing platforms often include many countries that have a wide range of adaptation priorities. In trying to accommodate as many countries as possible, the knowledge and information available on these platforms is often too broad to be useful for addressing specific adaptation needs. Therefore, specialized groups that have similar priorities need to be formed within and across existing platforms. For example within REGATTA, Caribbean nations – which are mostly Small Island Developing States (SIDS) – have different adaptations priorities to mainland Latin America and would

<sup>16</sup> World Development Report 2010 (<http://siteresources.worldbank.org/INTWDRS/Resources/477365-1327504426766/8389626-1327510418796/Chapter-6.pdf>)

<sup>17</sup> The majority of finance for adaptation has been disbursed by the LDCF, SCCF and Pilot Programme for Climate Resilience (PPCR). Both the SCCF and PPCR focus on LDCs and non-LDCs. Sub-Saharan Africa and Asia and Pacific – where the majority of LDCs are located – has received the greatest total share (31.3% and 37.8%) of disbursed climate finance. In comparison, the Middle East and North Africa, and Latin America and the Caribbean have received 4.6% and 10.8% of disbursed climate finance, respectively. <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/7910.pdf>

benefit from a knowledge-sharing platform providing information that is tailored to their specific needs.

**The project will contribute to overcoming these barriers by:**

**Improving national coordination mechanisms for multi-sectoral planning, budgeting, implementation and monitoring at the national and sub-national levels.** The project will support the strengthening of coordination between: i) different levels of government within countries; ii) governments of countries with similar adaptation priorities; iii) the academic community and civil society; iv) technical experts; v) the private sector; and vi) local communities. This improved coordination will: i) increase clarity and efficiency; ii) resolve conflicts/trade-offs; iii) avoid redundancy; and iv) allow non-LDCs to leverage capacity that is already present and/or that is being supported by other initiatives. Firstly, to strengthen national coordination mechanisms, climate-resilient planning at the sub-national level will need to be included in planning process from the outset. To this end, sub-national capacity needs will be differentiated from those needs identified at the national level. Secondly, the role and responsibilities of different stakeholders at the national and sub-national (including local) levels will be clearly established. This will clarify the institutional arrangements for the formulation, implementation and monitoring and evaluation (M&E) of countries' NAPs. Thirdly, existing policies, strategies and national development planning in individual non-LDCs will be used as entry-points for advancing the NAP process. Building on existing strategies, policies and plans will avoid the creation of parallel structures and/or processes that may lead to conflict or redundancy. Linkages and alignments to existing initiatives related to local, sectoral and national development planning processes will be made. Additionally, lessons learned from past development planning, including both successes and failures, will inform future development planning that includes considerations for medium- to long-term adaptation. This will encourage the political support and consensus that is required for an integrated approach to prevent the NAPs being a stand-alone process.

**Increasing in-country knowledge and technical capacity.** To account for the varying needs of non-LDCs, support for capacity development will be provided through a package of mechanisms that includes: i) extended national support; ii) target national support; iii) multi-country technical training; iv) online training and knowledge products; and v) South-South and North-South exchanges of lessons learned and knowledge. The project will promote knowledge sharing and capacity development across all relevant sectors within non-LDCs. As a result, instead of knowledge on climate change effects and adaptation remaining in a select number of ministries, such knowledge will permeate into planning ministries (e.g. Finance and Planning/Development) as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry). Knowledge sharing as well as planning and budgeting for adaptation will also be promoted at a sub-national level according to the degree of decentralisation and devolution of administrative responsibilities in each country.

**Improving South-South and North-South exchange of lessons and knowledge.** Exchange of information and replication of good practices for medium- to long-term adaptation planning will also be promoted between countries and regions. This will improve collective learning and capacity development in non-LDCs. Additionally, guidance from *inter alia* the NAP Global Support Programme (GSP) for LDCs and the AC will further support the application of good practices for medium- to long-term planning for climate change adaptation.

By achieving the above, the project will overcome barriers to advancing of the NAP process in non-LDCs by:

- **improving coordination mechanisms** for medium- to long-term adaptation planning and budgeting through broad technical support as well as dedicated national support to non-LDCs;
- **providing technical support** through training on relevant tools, methods and guidelines for medium- to long-term adaptation planning and budgeting; and
- **enhancing networks and partnerships for knowledge dissemination** on the NAP process and lesson learned among non-LDCs.

### 2.3. Global significance

The SCCF-financed project will result in benefits at the national, regional and global level through assisting non-LDCs to advance medium- to long-term planning processes for adaptation to climate change. For example, appropriate medium- to long-term planning for climate change can: i) generate multiple social, economic and environmental co-benefits in non-LDCs; ii) contribute to conservation and sustainable use of biodiversity, including species of global significance; and iii) contribute to climate change mitigation<sup>18,19</sup>. Enhancing medium- to long-term planning for climate change can achieve adaptation benefits for various sectors such as health, agriculture and water. This will contribute to sustainable development in non-LDCs and will support poverty reduction and the ability of non-LDCs to achieve the United Nations' MDGs.

### 2.4. Institutional, sectoral and policy context

#### *Global and regional frameworks*

The conventions outlined below provide frameworks and guidelines that inform policy in signatory nations. Examples include guiding policy documents generated under the UNFCCC, the UNCCD's National Action Programme and the CBD's National Biodiversity Strategic Action Plans (NBSAPs). Medium- to long-term planning for climate change adaptation can provide multiple social, economic and environmental benefits, but this has not resulted in a widespread adoption of appropriate planning at national levels that includes multiple sectors and is aligned with national policies, strategies and priorities. There is a need for these frameworks to increase the emphasis on – and facilitate the mainstreaming and adoption of – medium- to long-term planning for adaptation in national line ministries, as well as planning and financing ministries. The project will contribute to these frameworks by strengthening national capacities for medium- to long-term planning for climate change adaptation.

The **UNFCCC** coordinates the efforts of 195 signatory countries to mitigate and adapt to climate change within a global response. The climate change adaptation and mitigation strategies of signatory nations are prioritised and developed through a set of stocktaking and reporting mechanisms under the UNFCCC. For example, all signatories to the convention produce periodic NCs which report national greenhouse gas inventories and describe national activities to implement the Convention. These NCs include details such as: i)

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<sup>18</sup> Secretariat of the Convention on Biological Diversity. 2009. Connecting Biodiversity and Climate Change Mitigation and Adaptation: Report of the Second Ad Hoc Technical Expert Group on Biodiversity and Climate Change. Montreal, Technical Series No. 41, 126 pages.

<sup>19</sup> Non-LDCs in Eastern Europe are developing integrated adaptation and mitigation programmes.

vulnerability assessments; ii) status of financial resources and transfer of adaptation technology; iii) education, training and public awareness; and iv) policies and strategies for climate change mitigation and adaptation. As another example, the TNAs are country-driven processes to identify national technology needs for appropriate adaptation and mitigation activities.

The **Hyogo Framework for Action (HFA) 2005-2015** is a 10-year plan of prioritised actions to reduce the threat and impact of natural hazards associated with climate change. The HFA describes five priority actions and provides practical guiding frameworks for member states to coordinate the multiple sectors involved in planning for and responding to disaster risks and increasing resilience to natural disasters. The overarching goal of the HFA is to substantially reduce the environmental and socio-economic impacts of disasters and natural hazards associated with climate change by 2015 as well as to build local and national resilience to these disasters. The initial period of commitment for the HFA will expire in 2015. The NAP process is complementary to the HFA in its focus on the coordination of planning for medium- to long-term climate change adaptation over multiple sectors.

The **Convention on Biological Diversity (CBD)** is an international framework for guiding signatory nations on the management of biological diversity. The three main objectives of the CBD are: i) the conservation of biological diversity; ii) the sustainable use of the components of biological diversity; and iii) the fair and equitable sharing of the benefits arising from the utilisation of genetic resources. The CBD is implemented by signatory countries at the national level by developing National Biodiversity Strategies and Action Plans, which provide guidelines for mainstreaming biodiversity management strategies into the planning and implementation of appropriate interventions in all national sectors whose activities influence biodiversity. The NAP process is aligned with this in its inclusion of multiple national sectors in medium- to long-term adaptation planning.

The **United Nations Convention to Combat Desertification (UNCCD)** is an international framework established to guide long-term national and international policies/strategies to counter desertification and drought. The resolutions of the Convention are implemented through National Action Programmes as well as Action Programmes on the Sub-regional and Regional level. These various Action Programmes are developed through a participatory approach involving local stakeholders, and describe the practical steps to be taken to combat desertification in specific ecosystems. The medium- to long-term focus of the NAP process, as well as its emphasis on the alignment of climate change adaptation planning to national policies and strategies through multi-stakeholder consultation will complement the work conducted under the UNCCD.

The **MDGs** describe eight targeted indicators for human development which signatory nations have committed to achieve by 2015. These include targets for: i) eradicating extreme poverty and hunger; ii) achieving universal primary education; iii) promoting gender equality and empowering women; iv) reducing child mortality rates; v) improving maternal health; vi) combating HIV/AIDS, malaria, and other diseases; vii) ensuring environmental sustainability; and viii) developing a global partnership for development. The MDGs do not focus explicitly on either climate change adaptation. However, efforts to achieve several of the MDGs would be strengthened by the success of medium- to long-term planning for climate change adaptation in non-LDC developing countries, as envisioned in the NAP process.

**Sustainable Development Goals (SDGs)** will build upon the MDGs. At the Rio+20, it was decided to establish an "inclusive and transparent intergovernmental process open to all stakeholders, with a view to developing global sustainable development goals to be agreed

by the General Assembly”<sup>20</sup>. These goals constitute an integrated, indivisible set of global priorities for sustainable development. Targets are defined as aspirational global targets, with each government setting its own national targets guided by the global level of ambition but taking into account national circumstances. The goals and targets integrate economic, social and environmental aspects and recognize their interlinkages in achieving sustainable development in all its dimensions<sup>21</sup>; targets include action on adaptation.

The **Global Framework for Climate Services** (GFCS) was established under the guidance of the World Meteorological Organisation (WMO) to support the integration of science-based climate information into decision-making processes. This will enable governments to better manage the risks associated with climate change, particularly within the priority sectors of agriculture/food security, water, health and disaster risk reduction. The NAP process is complementary to the GFCS through its focus on the use of climate information to inform medium- to long-term planning for climate change adaptation.

The **Intergovernmental Panel on Climate Change** (IPCC) provides climatic information on the current and projected climate change situation, including the expected impacts of climate change on various sectors and regions of the world. Non-LDCs are able to engage with the climatic information and scenarios in the recent Fifth Assessment Report (AR5) to inform medium-to long-term decision-making across various sectors. The AR5 highlights the need for integrated action on climate change adaptation across all countries with a view to addressing climate change impacts in the medium- to long-term.

The project has been designed to align with the revised SCCF results framework under GEF6<sup>22</sup>, which captures the two objectives of the NAP process, as defined by the Conference of the Parties to the UNFCCC at its seventeenth session:

- i) to reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; and
- ii) to 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 (decision 5/CP.17, paragraph 18).

The SCCF-financed project will contribute to the following SCCF Focal Area Objectives for climate change adaptation:

- Objective 2: “Strengthen institutional and technical capacities for effective climate change adaptation”. Specifically, the project will address Outcome 2.3: “Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures”.
- Objective 3: “Integrate climate change adaptation into relevant policies, plans, and associated processes”. Specifically, the project will address Outcome 3.1: “Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened”.

### **National policy (NAPAs, NAPs, INCs, SNCs, TNAs)**

<sup>20</sup> <http://sustainabledevelopment.un.org/?menu=1300>

<sup>21</sup> <http://sustainabledevelopment.un.org/focussdgs.html>

<sup>22</sup> GEF/LDCF.SCCF.17/05/Rev.01

Through the preparation of NCs and TNAs, non-LDCs have identified adaptation priorities as well as developed preliminary adaptation plans and programmes. These processes also established multi-stakeholder platforms for national dialogue on climate change adaptation – often for the first time in the country. However, the resultant plans and programmes are typically sector-specific and short-term. Coordination of cross-sectoral efforts for climate change adaptation were not systematically considered. The SCCF-financed project will contribute towards addressing this by supporting non-LDCs to advance medium- to long-term planning for adaptation to climate change across all relevant sectors. This will build on and enhance adaptation options identified in NCs. Additionally, the SCCF-financed project will build on the multi-stakeholder platforms that were established for NCs and TNAs to enhance coordination of climate change efforts.

## 2.5. Stakeholder mapping and analysis

As the project is global in scope, consultations with country representatives and development partners were sought through major climate change-related events, as well as Adaptation Committee meetings, in particular:

- Bonn Climate Change Conference, Bonn, June 2014
- Taller Sub-regional – "Medidas y Proyectos de Adaptación al Cambio Climático, explorando oportunidades de financiamiento" (Sub-regional Workshop –Climate Change Adaptation-related Actions and Projects in Mesoamerica and the Caribbean, Searching for Funding Opportunities, Mexico City, September 2014
- USAID Adapt Asia-Pacific Third Annual Forum 2014, Siem Reap, September 2014
- NAP Task Force Meeting, Bonn, September 2014
- 6<sup>th</sup> Meeting of the Adaptation Committee, Bonn, September 2014

Further, existing networks and in-country missions were used to conduct additional consultations with non-LDCs on country needs, experiences and progress related to the NAP process. As a result, the project design benefits from feedback collected from country representatives across multiple regions. Stakeholders consulted during the PPG phase are listed in Table 1 below.

**Table 1: Country Consultations**

Countries and UNFCCC Party Groupings			
African States	Ecuador	Kenya	Palau
Alliance of Small Island States (AOSIS)	El Salvador	Kyrgyzstan	Panama
Armenia	Federated States of Micronesia	Former Yugoslav Republic of Macedonia (FYROM)	Philippines
Belize	Fiji	Maldives	Samoa
Bolivia	G-77 and China	Marshall Islands	Serbia
Brazil	Georgia	Mexico	South Africa
Colombia	Ghana	Mongolia	Sri Lanka
Cook Islands	Grenada	Montenegro	Thailand
Costa Rica	Guatemala	Nauru	Trinidad & Tobago
Cuba	Honduras	Nicaragua	Turkmenistan
Dominican Republic	Indonesia	Nigeria	Uruguay



Eastern European States	Jamaica	Pakistan	Viet Nam
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Non-LDCs have varying levels of capacity and development. Thus, these countries are at varying stages of the NAP process. However, common themes for challenges and needs emerged from consultations. These themes include: a) enhancing inter-ministerial dialogue and coordination; b) moving from planning to implementation; c) improved guidance on the NAP process; and d) knowledge sharing.

#### *Enhancing Inter-ministerial Dialogue and Coordination*

Some non-LDCs have developed NAP-type strategies/plans, but these are not always comprehensive enough to encompass the full extent of medium- to long-term adaptation priorities. Support is needed to foster increased collaboration for bringing sectoral plans together under an overall national programme, and/or to adjust planning towards the longer term.

#### *Moving from Planning to Implementation*

Many non-LDCs consulted are confident that their existing national strategies and plans adequately integrate climate change, and were anxious to move from planning to implementation. However, access to finance was identified as a challenge to implementation in all consultations. Non-LDCs acknowledged their limited access to donor support and requested training which would help them secure the necessary financing through other means. This included training on conducting cost-benefit analyses at project and sectoral level to identify efficient and sustainable adaptation options, designing bankable projects and identifying innovative financial schemes to support implementation of adaptation initiatives.

Another key challenge related to implementation was the monitoring and evaluation framework necessary for informing an iterative planning and implementation process, and the related selection of indicators for effective oversight of NAP implementation.

#### *Guidance on the NAP process*

Guidance on the NAP process was requested from countries, while stressing that the NAP process must be flexible enough to apply to their chosen national approaches to address climate change. For example, several Pacific Island Countries (PICs) are in the process of drafting, or have completed, their Joint National Action Plan (JNAP), which seeks an integrated approach towards addressing climate change and disaster risk management. Similarly, some Eastern European and Latin American countries are approaching climate change adaptation together with climate change mitigation, citing that viewing adaptation alone will not address their particular climate change issues.

#### *Knowledge Sharing*

All non-LDCs expressed interest in learning about NAP-related experiences in other countries. The NAP process is a large undertaking, and countries want to be able to learn from the successes of other countries, especially those at similar stages of development and/or facing similar challenges.

Annex 20 provides a more detailed account of country consultations.

The above themes are consistent with lessons learned and emerging issues from the first year of implementation of the LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, which include:

- Most LDCs agree that NAP is both a process and a document.
- Climate finance for NAP is a priority for most countries, including finance for implementation.
- Institutional coordination is a challenge for all countries. Exchange of experiences can promote learning.
- Broadening the NAP process beyond environment ministries to integrate with planning and budgeting processes and national development strategies is a long-term process.
- Countries are eager to move from planning to implementation.
- Countries are requesting additional technical support, both in-country and regional level trainings, to advance NAPs.
- There is high demand for technical support to advance the NAP process.
- More targeted and sustained one-one-one support is required based on specific institutional and national context in LDCs.
- Regional thematic workshops provide an avenue for technical training as well as South-South exchange.

Both the results of stakeholder consultations and lessons learned from the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, have helped to refine project design.

Consultations with development partners highlighted ongoing support related to the NAP process. Like the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, this SCCF-financed project will exercise a collaborative approach with development partners to support countries, maximising the impact of combined resources and expertise.

## **2.6. Baseline analysis and gaps**

### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

Stakeholder consultations indicate existing adaptation policies, strategies and plans are at different stages, and vary in scope and approach. For example:

- Several countries in the Pacific region have developed, or are in the process of developing, Joint National Action Plans (JNAPs) which seek to address climate change adaptation and disaster risk reduction comprehensively.
- Policies in Eastern European and Latin American countries combine climate change mitigation and adaptation, citing that approaching climate change adaptation alone will not adequately address their challenges.
- Countries from the Balkan region have started the process of harmonization of policies and legislation with the European Union, including on climate change.

- Some non-LDCs have only recently graduated from LDC status (e.g. Maldives), and have National Adaptation Programmes of Action (NAPAs)<sup>23</sup>, which were not fully implemented. They therefore continue to use their existing NAPA to guide adaptation planning.
- Many countries cited effective sub-national or sectoral planning documents and action plans, which can be built upon by expanding their current scope to a national level and/or towards a medium- or long-term view.

Climate change action in countries is often led by the ministries of environment, with little or ineffective coordination with other planning and line ministries. As climate change is cross-sectoral with economy-wide impacts, inter-ministerial cooperation is critical to ensure that climate change is integrated into development planning, and must therefore be enhanced. Consultations with countries indicated varying successes and challenges related to effective coordination. While some countries felt they had effective systems in place and simply needed support to advance their NAP, others requested support to first sensitize the various ministries on how climate change could impact their respective sectors as well as their related medium- to long-term planning.

Plans and strategies are in place in many developing countries, but they still face the challenge of securing finance for implementation of those plans. There is limited access to acquiring technical and financial assistance for adaptation, and available sources of international and domestic public funds are often insufficient to meet adaptation needs. Technical capacity is lacking in areas such as economic analysis and developing bankable projects, which would prove efficiency and effectiveness in light of other adaptation options – thus improving the quality proposals for funding from various sources.

#### *Ongoing initiatives that contribute to this Component*

Component 1 of the SCCF-financed project will build on the ongoing initiatives listed below.

The *Low-Emission Capacity Building (LECB) Programme* is supported by UNDP, the European Commission, the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), Australian Department of Climate Change and Energy Efficiency, and AusAID (2011–2016, US \$15 million will contribute baseline co-financing to the SCCF project, of a total budget of US \$40 million).

The LECB Programme facilitates cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMA), strengthens technical capacity and facilitates public-private partnerships. In the context of the SCCF project, the LECB programme lays a critical foundation upon which work can be augmented to include i) climate scenarios and adaptation planning in light of agreed mitigation interventions at the country level (Outcome 1); and ii) further public-private collaboration to finance adaptation-related technological investments (Outcome 1 and Outcome 3). Further, the LECB programme is currently developing a methodology for providing technical assistance to countries on identifying, tracking and monitoring the allocation, management and results of public expenditures related to climate change (in line with UNDP Climate Public Expenditure and Institutional Review (CPEIR) work) and carrying out private sector assessments in Chile, Mexico, Thailand, Indonesia, and

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<sup>23</sup> National adaptation programmes of action (NAPAs) provide a process for Least Developed Countries (LDCs) to identify priority activities that respond to their urgent and immediate needs to adapt to climate change – those for which further delay would increase vulnerability and/or costs at a later stage.  
[http://unfccc.int/national\\_reports/napa/items/2719.php](http://unfccc.int/national_reports/napa/items/2719.php)

Vietnam. For Chile and Mexico, the work will include both the CPEIR and private sector analysis, while for the last three countries, only a private sector assessment will be developed. This methodology will serve as a basis for the in-country trainings related to this topic, undertaken under Outcome 1 of the proposed GSP. Private sector assessments can be replicated in countries that find it necessary, once the methodology is completed and tested under the LECB programme.

The LECB Programme assists developing countries to improve the comprehensiveness and quality of their monitoring, reporting, and verification (MRV) actions under the UNFCCC and enhance national capacity to establish national MRV systems for tracking climate change resources, as well as greenhouse gas emissions reductions. Support to countries also includes assessments of the private sector and CPEIR support.

CPEIRs are analysis of allocation and management of public expenditures related to climate change, used to provide key guidance to strategic planning and budget preparation and to identify ways in which to improve the efficiency and effectiveness of resource allocations. The CPEIR will be a key building block for Asia-Pacific countries to develop a climate fiscal framework – which would assess the demand and supply for climate funds and the sources of funds available from domestic and external sources. By reviewing current climate expenditures from both domestic and external sources of finance and identifying ways in which climate related expenditures can be tracked, the CPEIR will be a key building block for developing a comprehensive climate fiscal framework. Over time, as the CPEIR methodology and approach is improved, a CPEIR will serve as a tool to enable Asia-Pacific countries to improve prioritisation, efficiency and effectiveness of all public resources in support of climate adaptation and mitigation .

These efforts create an important basis, which can be expanded to include adaptation actions and resources.

With support from UNDP, CPEIRs are completed or ongoing in the following non-LDCs: Indonesia, Morocco, Philippines, Samoa, Thailand and Viet Nam. The LECB Programme supports 25 countries, 22 of which are non-LDCs: Argentina, Chile, China, Colombia, Costa Rica, Ecuador, Egypt, Ghana, Indonesia, Kenya, Lebanon, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Tanzania, Thailand, Trinidad and Tobago, Viet Nam and Zambia.

The **Capacity Building Programme on the Economics of Climate Change Adaptation (ECCA)**<sup>24</sup> has provided training on project-level cost-benefit analysis, sectoral analysis, and hydro-economic modelling. Working in Asia, Africa and the Pacific, the objective of the programme is to strengthen the capacity of technical officers in ministries of planning/finance, as well as line ministries (environment, agriculture, water, public works, and others) to assess economic costs and benefits when evaluating different adaptation alternatives, as they relate to medium- and long-term national, sub-national and sectoral development plans.

ECCA is coming to a close by mid-2015, and is therefore not counted in the co-financing figure, however, there are opportunities to build on its successes by further developing packaging and making available the programme training materials.

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<sup>24</sup> <http://www.undp-alm.org/projects/ecca>

The ECCA programme's non-LDC participating countries include Cameroon, Fiji, FS Micronesia, Ghana, Indonesia, Maldives, Mongolia, Mozambique, Philippines, Samoa, Solomon Islands, Sri Lanka, Thailand, Tunisia, Tuvalu, Viet Nam and Zimbabwe.

The COP agreed that planning for adaptation at the national level is a continuous, progressive and iterative process<sup>25</sup>. A critical component of an iterative process is a monitoring and evaluation mechanism, results of which would feed back into the ongoing process and be used in producing updated NAPs, and other relevant plans, on a periodic basis<sup>26</sup>. This was an area where countries requested additional guidance.

The UNDP-led Economics of Adaptation Capacity Building Programme, in partnership with USAID, ADB, and GWP has provided training on project-level cost-benefit analysis, sectoral analysis (for the agriculture and water sector) including on microeconomic and hydro-economic modelling techniques. Working in Asia, Africa and the Pacific, the objective of the programme is to strengthen the capacity of technical officers in ministries of planning/finance, as well as line ministries (environment, agriculture, water, public works, and others) to assess economic costs and benefits when evaluating different adaptation alternatives, as they relate to medium- and long-term national, sub-national and sectoral development plans.

### **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

At present, relevant government institutions and other stakeholders in non-LDCs do not have sufficient technical knowledge to advance country-specific NAP processes. For example, planning ministries within non-LDCs seldom have access to evidence-based technical tools, methods, guidelines and supplementary material – hereafter referred to as toolkits – for integration of adaptation priorities into medium- to long-term development planning, despite the existence of a number of toolkits applicable to the NAP process. Up until now, these toolkits have been designed largely for the purposes of LDCs and include the following:

- PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;
- the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;
- sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;
- UNFCCC LEG Sourcebook on the NAPs (currently under development)
- relevant tools/guidance from the NAP GSP for LDCs;
- GIZ Smart National Adaptation Planning Tool (SNAP) and National Adaptation Plan country-level training; and
- tools/guidance on M&E/MRV, Loss & Damages, CPEIRs, climate finance readiness, etc.

Despite the lack of availability of toolkits relating to the NAP process geared towards non-LDCs, the preparation of NCs has contributed to non-LDCs having basic knowledge on climate change impacts and vulnerabilities as well as adaptation interventions that are socially appropriate and cost-effective. This is largely based on the UNFCCC guidelines developed by the Consultative Group of Experts on National Communications (CGE). These guidelines include prioritising and designing national adaptation programmes for major

<sup>25</sup> Decision 5/C p.17, paragraph 2

<sup>26</sup> 2012, LDC Expert Group, National Adaptation Plans – Technical guidelines for the national adaptation plan process, pg 14.

sectors that are vulnerable to climate change. However, there is little support to apply these guidelines within country-specific contexts.

The LEG NAP technical guidelines were developed to provide guidance to LDCs on advancing their NAP processes. LDCs that have engaged with these guidelines for initial NAP processes have found them to be useful, however some LDCs (e.g. Bangladesh) have expressed that additional guidelines and support are needed. Furthermore, these guidelines may require adjustments to address the context of non-LDCs. At present, the guidelines remain broad and do not provide sufficient guidance on particular geographic/regional or sectoral adaptation priorities. For example, many SIDS consider disaster risk management to be integral to climate change adaptation owing to their particular vulnerability to climate-induced disasters such as storm surges. Furthermore, sharing of knowledge and experiences among non-LDCs on the application of available guidelines within relevant geographies/regions<sup>27</sup>, themes<sup>28</sup> and sectors<sup>29</sup> are limited. The guidelines are thus perceived as being broad and generic, with few non-LDCs having access to working examples of the application of the guidelines within their particular socio-economic and environmental contexts. For example, Granada has begun the NAP process with support from GIZ, however this experience is not shared among SIDS.

The application of the current toolkits in non-LDCs for the NAP process is constrained by a number of factors.

- Firstly, lessons learned from LDCs on advancing their NAP processes<sup>30</sup> have shown that the proliferation of toolkits is creating confusion among user countries. This is also the case for non-LDCs, where the available toolkits are not always understood by the intended users. The undefined relation between toolkits and the application of different toolkits during different stages of the NAP is creating confusion. The result is limited application of available toolkits for adaptation planning in non-LDCs. There is a need to review the relevant toolkits with a view to packaging and linking them more effectively to improve clarity and understanding of what distinct sectors different toolkits can address.
- Secondly, the application of the existing toolkits is further constrained by limited technical capacity of relevant institutions in non-LDCs. Because of this, technical support on the application of the toolkits has been identified by non-LDCs as a priority need. For example, Ecuador has requested technical support to apply guidelines related to vulnerability analyses e.g. PROVIA guidelines.
- Thirdly, many of the current toolkits are only available in a limited number of languages. This limits the ease of application of such toolkits in non-LDCs where government staff are not fluent in the languages in which these toolkits are available. For example, stakeholders consulted during the PPG phase indicated that the current toolkits need to be available in French for application in Francophone countries. Similar needs were expressed for translation of tools into Spanish for Latin American countries and Arabic for West Asian countries.

As a result of *inter alia* the three factors described above, appropriate measures for adaptation are not fully included in national, sectoral and local policies and plans for the medium- to long-term. Current toolkits available require: i) revisions to consider the contexts of non-LDCs; ii) clarification regarding the role and relation of toolkits; iii) improved

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<sup>27</sup> E.g. SIDS, Central Asia, Latin America.

<sup>28</sup> E.g. vulnerability analyses, local-level planning, cost-benefit analyses.

<sup>29</sup> E.g. water, agriculture, health.

applicability through the provision of technical support to non-LDCs; and/or iv) improved availability to non-LDCs.

*Ongoing initiatives that contribute to this Component*

Component 2 of the SCCF-financed project will build on the ongoing initiatives listed below.

The **UNEP Programme of Research on Climate Change Vulnerability, Impacts and Adaptation**<sup>31</sup> (PROVIA). PROVIA is a global initiative that aims to provide direction and promote coherence at the international level for research on vulnerability, impacts and adaptation (VIA). The PROVIA Secretariat is currently hosted by UNEP in Nairobi. Launched with the support of leading scientists and decision-makers, PROVIA responds to the urgent call by the scientific community for a more cohesive and coordinated approach to understanding climate change, including the critical need to harmonise, mobilise, and communicate the growing knowledge- base on VIA. PROVIA acts as a new and growing network of scientists, practitioners and decision-makers working towards identifying research gaps and meeting policy needs in climate change vulnerability, impact and adaptation research. Acknowledging emerging policy strategies, new scientific developments and lessons learned from past programmes, PROVIA promises to deliver, in collaboration with its implementing partners, improved coordination of international research on the impacts of and responses to climate change, and provide the credible scientific information that is being increasingly requested by the world's decision-makers. PROVIA has collaborated with the on-going NAP GSP for LDCs and the LEG on supporting VIA for the NAP process. The scope of PROVIA extends beyond supporting LDCs and includes support for non-LDCs. The SCCF-financed project will therefore build upon and employ the PROVIA products relevant to non-LDCs for the purpose of the NAP process. Training material will be developed for the application of PROVIA products. The project will also provide training on PROVIA products through sub-regional and thematic workshops. Furthermore, the lessons learned from the partnership with PROVIA under the NAP GSP for LDCs will be used to inform the technical capacity building of non-LDCs.

**UNITAR's One UN Training Service Platform on Climate Change (UN CC:Learn)** is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further phase of funding (2014-2017). The proposed SCCF project will build on the knowledge products produced through this initiative, and will provide these products to non-LDCs. The UN CC:Learn platform is contributing with US\$3,000,000 to be used as co-financing for the proposed SCCF project.

**Climate Technology Centre and Network**<sup>32</sup> (CTCN) (UNEP) facilitates the international cooperation, development and transfer of technology for climate change adaptation and mitigation. The SCCF-financed project will build on this initiative by facilitating the exchange of knowledge and skills for adaptation technology. Furthermore, the CTCN could integrate NAP elements into its adaptation portfolio and could then be available to non-LDCs as an additional support mechanism for advancing the NAP process.

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<sup>31</sup> While PROVIA is not providing any baseline co-financing, it is an important initiative upon which the SCCF project will build and coordinate.

<sup>32</sup> While the CTCN is not providing any baseline co-financing, it is an important initiative upon which the SCCF project will build and coordinate.

As part of the project **Building Capacity for Coastal Ecosystem-Based Adaptation in Small Island Developing States**<sup>33</sup> to build the capacity of Small Island Developing States on ecosystem-based approaches for adaptation to climate change (EBA) with an emphasis on coastal ecosystems, UNEP-WCMC is supporting UNEP DEPI to produce the following guidance materials that are relevant to the NAP process:

- A summary document covering how the UNEP-led EBA Decision Support Framework can support the steps included in the UNFCCC LEG NAPs Technical Guidelines for the NAP process, and introducing how the steps of a coastal and SIDS version of the EBA Decision Support Framework, which aims to help countries choose between adaptation options with EBA in mind, also relate to the NAPs Technical Guidelines. Although the original UNEP-led EBA Decision Support Framework was designed for the sub-national level, elements of the guidance it provides are applicable to the national level.
- A user-friendly coastal and SIDS module of the EBA Decision Support Framework that will provide steps and guidance, principles, options, tools for choosing between coastal adaptation options at the national level, informed by a review of coastal EBA options and associated tools and guidance.
- An introductory manual on implementing integrated coastal EBA options in SIDS and island ecosystems
- Training modules (include for online use) based on the above materials.

These guidance materials, due to be finalized around early 2015, will be presented to non-LDCs to use in advancing with their NAP process, through e.g. the training workshops under Outcome 2.

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

At present, non-LDCs do not have sufficient capacity to undertake the steps necessary for extensive and iterative advancing of their NAP process. This is partly because the relevant government institutions and other stakeholders in non-LDCs have limited access to relevant knowledge, lessons learned and good practices on mainstreaming adaptation into medium- to long-term development planning. There are presently few opportunities for South-South and North-South exchanges on advancing the NAP process for non-LDCs. Where partnerships between non-LDC governments and global/regional institutions, networks and platforms that promote such cooperation do exist, they generally: i) do not include knowledge and lessons learned pertaining to the NAP process; and ii) are underutilised. For example, APAN includes a discussion group on engaging and monitoring private sector investment in adaptation. However, non-LDCs have yet to be engaged in this discussion group.

Many of the existing institutions, networks and platforms are broad-based and include countries with a wide range of adaptation priorities. Representatives of non-LDCs<sup>34</sup> recommended the sharing of relevant knowledge through a more focused, sub-regional approach. This would facilitate sharing of lessons learned and experiences between countries with similar geographic and/or socio-economic development contexts. For example,

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<sup>33</sup> While the project Building Capacity for Coastal Ecosystem-Based Adaptation in Small Island Developing States is not providing any baseline co-financing, tools produced under it is an important initiative upon which the SCCF project will build and coordinate.

<sup>34</sup> This was especially highlighted during PPG consultations held with eastern European countries, SIDS and Latin American countries.



stakeholders from the Marshall Islands identified the Pacific Island Forum as an appropriate platform for sub-regional dialogue within the Pacific region. Similarly, the Micronesia Challenge initiative has also been identified as an appropriate platform to share sub-regional knowledge and experiences on adaptation planning between member states. Furthermore, the number of non-LDCs engaged in communities of practice through the available platforms is limited. This reduces the potential for sharing of detailed information, knowledge, lessons learned, technical skillsets and toolkits relevant to particular themes/regions. For example, REGATTA currently has a number of communities of practice around the following themes/regions: i) Andes; ii) Caribbean; iii) Ecosystem-based Adaptation; iv) Health: MesoAmerica; and v) Southern Cone and Gran Chaco. However, these communities of practice vary in terms of number of participating countries and the degree of participation in the initiative. Consequently, medium- to long-term planning continues in a manner that does not take into account lessons learned from adaptation planning processes elsewhere. Instead, line ministries within non-LDCs conduct planning exercises that are not cross-sectoral, nor based on available knowledge of good practices. As a result, appropriate climate change adaptation interventions are not integrated into new and existing national policies and strategies.

During PPG consultations, countries expressed great interest in learning about the experiences of other countries related to the NAP process. While various platforms exist for sharing information (see section 2.3.1 *Links to Baseline Initiatives*), they are not necessarily tailored enough so that information is: i) specific or applicable to the country's own NAP process; ii) demonstrating the value of NAP to reduce vulnerability; and iii) showcases how challenges such as sustainability and access to finance were addressed. More tailored information is needed, to make these important links.

Access to finance for adaptation is a critical concern for non-LDCs and there is clear knowledge gap on how the private sector can contribute to national adaptation goals and targets. This can be seen from both sides: the private sector is unaware of opportunities, and government is unaware of how best to incentivize private sector engagement for adaptation. Incentivizing private sector investment provides an opportunity to supplement public finance for greater impact in addressing medium- to long- term adaptation priorities. Of the \$224 billion annually invested by the private sector in climate change, only an estimated 6% is for adaptation<sup>35</sup>. This figure however may be understated. Private sector investment in adaptation is difficult to define and therefore difficult to capture. For example, the private sector must make adjustments in order to stay profitable in light of climate change (e.g. investing in climate-resilient crops or adaptation technologies in response to climate-induced reduced crop yield). These adjustments are not necessarily marked as 'adaptation', or reported in that manner. Private sector investment in renewable energies, on the other hand, has a more obvious link to climate change mitigation and can therefore be more easily tracked.

#### *Ongoing initiatives that contribute to this Component*

The NAP Central<sup>36</sup> is an information system that will serve as the main information platform for supporting the NAP process. It will provide examples and case studies drawn from different countries, and will offer a platform for exchanging experiences, lessons and best

<sup>35</sup> Landscapes of Climate Finance 2013, Climate Policy Initiative

<sup>36</sup> [http://unfccc.int/nap/guidelines\\_main.html](http://unfccc.int/nap/guidelines_main.html)

practices in the formulation and implementation of adaptation plans. NAP Central is currently under development.

UNEP promotes sharing of knowledge and lessons learned through a number of global and regional networks. The SCCF-financed project will be aligned with these initiatives as described below.

**The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC, AAKNet) (UNEP).** GAN is an umbrella structure that promotes the sharing of knowledge, lessons learned and experiences through regional networks. Exchange of information on climate change adaptation between member countries is facilitated through knowledge platforms, discussion forums and communities of practice. The SCCF-financed project will increase the availability of technical knowledge and toolkits on integration of climate change adaptation into medium- to long-term development planning through GAN and its associated regional networks. Firstly, the regional/thematic working groups established under Output 2.2 will be involved in exchange of experiences through the GAN networks. Secondly, the web-based training material developed under Output 2.3 will be published on these networks. Consequently, all member countries will have increased access to training material on the application of toolkits for advancing the NAP process in non-LDCs. Thirdly, the project will develop systems for dissemination of knowledge and information through these networks. These systems will include a LISTSERVE and newsletter for member countries as well as additional forums to promote discussion. Lastly, the existing communities of practice on these networks – such as those under REGATTA – will be strengthened to address needs related to advancing the NAP process in non-LDCs. New communities of practice will be established and existing communities of practice will be supported to promote the sharing of knowledge and lessons learned within regional/thematic discussions. GAN will provide US \$550, 000 to the proposed SCCF project over 2015.

Further support is provided by the **West Asia Regional Network on Climate Change (WARN-CC)**. WARN-CC was established in 2010 with start-up funding by the Swedish International Development Cooperation Agency (SIDA), to help build institutional and human resource capacities in the region to address the challenges of climate change. It aims to enhance capacities to integrate climate change into national development and to formulate and implement national climate change programmes, through mobilizing knowledge, technology and resources. WARN-CC covers the areas of climate change mitigation, adaptation, technology and finance. A core network of national climate change focal points has been established and a study of the networking of mitigation and adaptation technology centres in the region was conducted in 2011. The regional network is developing and expanding in terms of its membership, thematic focus, and the regional and sub-regional knowledge hubs involved. The network aims to focus its work through the initiation of three “Practice Groups”, for adaptation, mitigation and technology topics<sup>37</sup>. Over the period of implementation of the proposed SCCF project, WARN-CC will contribute with US\$50,000 co-financing through a series of training workshops<sup>38</sup> that can support in further disseminating toolkits developed under Outcome 2.

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<sup>37</sup> <http://ganadapt.org/regional-networks/warn-cc-west-asia>

<sup>38</sup> E.g. Training workshop on climate governance and financing and on Vulnerability Assessment and Adaptation in the Water Sector, as well as input to the development of a Sub-regional adaptation strategy for the Gulf Cooperation Council countries.

The **Asia Pacific Adaptation Network (APAN)** was established in October 2009 as part of the GAN. Its goal is to build the climate resilience of vulnerable human systems, ecosystems, and economies through the mobilization of knowledge and technologies to support adaptation capacity building, policy-setting, planning and practices in the Asia Pacific Region. APAN aims at generating and sharing knowledge and information to enhance adaptive actions, facilitate application of appropriate knowledge to adaptation programs and projects, support access to adaptation finance mechanisms, and strengthen the capacity of national and local planners, communities, development partners and the private sector for adaptation. Over the period of implementation of the proposed SCCF project, APAN will contribute with US\$100,000 co-financing through promoting the toolkits and training package through its online portal as well as through presenting Asia Pacific work on NAPs through its regional meetings.

The **Regional Gateway for Technology Transfer and Climate Change Action (REGATTA)** provides a platform to help Latin American and Caribbean countries jointly address climate change in a coherent and integrated approach. REGATTA helps countries identify, discuss, and develop new solutions for mainstreaming climate change into national development plans, strategies and policies. The network's main objective is to strengthen the mobilization and sharing of knowledge on climate change by building associated capacity of key regional, sub-regional and national institutions. The REGATTA online knowledge platform aims to strengthen information exchange among experts and practitioners, and to create a continuously updated inventory of adaptation, mitigation, and technology transfer initiatives in the region. In addition to organizing seminars, workshops and policy dialogues, REGATTA undertakes regional and sub-regional assessments, and has completed studies on regional vulnerability indicators and legal frameworks of adaptation. Pilot projects in countries help to generate knowledge and lessons learnt on mainstreaming adaptation into development planning processes. Over the period of implementation of the proposed SCCF project, REGATTA will contribute with US\$100,000 co-financing through building on workshops at national or regional level (thematic or otherwise) to further disseminate and communicate on the support available to non-LDCs in the LAC region through the GSP as well as implementation methods e.g. EbA, in order to emphasize the importance of NAP for long-term planning. In addition the REGATTA platform can be used to further promote NAP-related resources developed under the project in order to improve their accessibility and visibility in the region.

The **LECB Programme** is supporting countries on their CPEIR and other assessments of relevance to the private sector. The Programme is developing private sector analyses for Chile, Mexico, Thailand, Indonesia and Viet Nam. Part of the analyses, will involve setting forth recommendations on how to overcome the barriers to obtain private sector financing for climate change mitigation. Usually these barriers are related to risk-reward relationship of the investment itself of the country's investment environment; low technical capacity levels and a lack of information. Therefore to overcome such barriers, it has been noted that governmental interventions should alter the risk-reward relationship in such a way as to make mitigation technologies more competitive, locally against business-as-usual development options/technologies.<sup>39</sup> The experience of LECB, demonstrates that engagement of the private sector will also help build the capacities and technical expertise of the "team" that is leading the design of GHG mitigation programmes and their integration in national priorities. The private sector analysis methodology to be used is being developed through Oxford Consulting Partners, with a draft expected by end-2014. There are opportunities to build on

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<sup>39</sup> [http://www.lowemissiondevelopment.org/docs/Private\\_Sector\\_LEDs\\_and\\_NAMAs\\_r2.pdf](http://www.lowemissiondevelopment.org/docs/Private_Sector_LEDs_and_NAMAs_r2.pdf)

this work of the LECB Programme to include climate change *adaptation* entry points in the private sector analyses being carried out in LECB countries.

## 2.7. Linkages with other GEF and non-GEF interventions

The SCCF-financed project will collaborate with and build on the lessons learned from a range of related initiatives and bodies such as the Adaptation Committee and LDC Expert Group (LEG) established under the UNFCCC, including those detailed below. These initiatives include a focus on strengthening the capacities of non-LDC to integrate climate change adaptation into medium- to long-term planning.

The **Green Climate Fund (GCF) Readiness Programme** (UNEP and UNDP) is currently in inception phase (with a total budget of Euro 10 million, split among UNDP, UNEP and WRI). It offers needs-oriented support to countries for accessing and using the GCF once it is fully operational. It is implemented by UNDP, UNEP, WRI and the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU). This programme will include: i) specific capacity building programmes in 9 target countries of which 6 are non-LDCs.; ii) the development of national project pipelines on the basis of existing and potential specific national plans and policies; and iii) the development of in-country monitoring tracking systems for climate finance and its effectiveness, together with feeding back shortcomings identified with GCF processes to support the work of the GCF board. The programme is currently working with stakeholders in each country through scoping missions to develop a readiness plan which will be based primarily on an assessment of capacities around the pillars of climate finance readiness. Given the concerns expressed by countries related to access to finance, the SCCF project will ensure close collaboration with this programme.

The LDCF-funded **Assisting least developed countries with country-driven processes to advance National Adaptation Plans** project seeks to strengthen technical capacities of LDCs for preparation of NAPs, building on their National Adaptation Programmes of Action (NAPAs). This project had a planned end date of 2015, however, additional resources have been requested from the LDCF for expanded support, under the *Expanding the support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)* project.

*The Building capacity for LDCs to participate effectively in intergovernmental climate change processes* project, also funded by the LDCF, seeks to strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts. Both projects are implemented by UNDP and UNEP. Together with the SCCF-financed project, these projects make up a programme of support to countries to enhance adaptation planning at the country level, as well as build the capacity of negotiators, which will improve access to knowledge, and potentially access to climate finance.

Additionally, the GEF-funded Global Support Programme for the Preparation of National Communications and Biennial Update Reports for non-Annex I Parties under the UNFCCC, jointly implemented by UNEP and UNDP provides institutional and technical support to non-Annex I countries to implement these reporting guidelines upon demand in support of UNFCCC requirements.

The 4-year *Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)* project is funded by the Federal Ministry for the Environment,

Nature Conservation, Building and Nuclear Safety (BMUB) with approximately \$13million. Implemented by UNDP and FAO, the project aims to integrate climate change risks and opportunities as they relate to agriculture sector-related livelihood options within existing national planning and budgeting processes in Kenya, Nepal, Philippines, Thailand, Uganda, Uruguay, Vietnam, Zambia, Paraguay and Nicaragua. The project, implemented by UNDP and FAO will achieve this goal through four main pillars: i) strengthening the institutional capacity of key ministries (Agriculture, Environment and Planning) and local government on NAPs; ii) develop integrated roadmaps for agriculture sector NAPs; iii) improve evidence-based results for NAPs using experimental design frameworks; iv) conduct knowledge sharing and advocacy on NAPs. In overlapping non-LDCs, the proposed project will be coordinated with the BMUB project to avoid duplication of efforts, specifically in regards to developing NAP roadmaps for the agriculture sector and institutional capacity building efforts (including in-country trainings and development and application of toolkits/training material). Further, synergies will be explored and capitalized for knowledge exchange efforts, such as regional exchanges (planned under the BMUB project) on science and technology and economics of adaptation, etc., as well as global outreach efforts regarding UNFCCC processes and Green Climate Fund. The project is implemented by UNDP and Food and Agriculture Organization (FAO).

UNEP DTU Partnership's *Adaptation Mitigation Readiness Project (ADMIRE)* (2014-2016) will provide international and technical expertise to developing countries to develop NAMAs and NAPs. In particular, the initiative will focus on enhancing private sector engagement and investment in mitigation and adaptation in developing countries through developing sustainable financeable frameworks. To do this, the ADMIRE project invites collaboration with applicants, local experts and national government representatives.

The *UNEP LIVE*<sup>40</sup> portal, launched in January 2014, is a UNEP initiative that offers a dynamic platform to collect, process and share environmental science and research. It provides a single gateway to accessing and locating country-level statistics as well as providing access to Satellite/Space Programmes such as GEOSS Portal, Earthnet Online, USGS Earth Explorer, as well as an *in situ* Programme called Argo. This portal will provide data access to both the public and policy makers using distributed networks, cloud computing, big data and improved search functions with the objective of filling gaps between data providers and consumers. UNEP LIVE will also support streamlining of national monitoring, reporting and verification of data for global and regional environmental goals. The portal includes communities of practice that gather experts in various fields relating to the environment and bring them on a common platform that provides access to discussion and exchange. The SCCF-financed project will build on these communities of practice – such as GEO SIDS and SFP COP – through Output 3.1. In further development of UNEP LIVE, the project will collaborate with UNEP LIVE and present it at the training workshops as a means of accessing up-to-date environmental information and statistics.

Project implementation will be informed by decisions of the Adaptation Committee (AC). The AC was established as part of the Cancun Adaptation Framework, and promotes the planning and implementation of climate change adaptation under the UNFCCC. This is mainly achieved through: i) providing technical support and guidance; ii) knowledge brokering through the sharing of lessons learned, experiences and good practices; and iii) the engagement of national, regional and international networks. The project will engage with the AC under their mandate for supporting adaptation work programmes, in order to assist non-

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<sup>40</sup> <http://www.uneplive.org/>

LDCs with the advancement of medium- to long-term planning for climate change. The SCCF-financed project will also seek knowledge sharing through the Technical Executive Committee (TEC) of the AC, for case studies related to adaptation technologies.

The LEG was established as part of the Marrakesh Accords during COP-7. The objective of the LEG is to advise LDCs concerning their preparation and implementation of NAPAs. Subsequent to this, the LEG has been further involved in the development of guidelines for the NAP process in LDCs. It is uncertain at this point if guidelines will be developed which are specific to non-LDCs. However, as the guidelines developed by the LEG for LDCs can also apply to non-LDCs, the SCCF-financed project can benefit from the related lessons learned, and apply the guidelines in non-LDCs, tailoring as necessary to the local context. Additionally the SCCF-financed project will collaborate closely with development partners on related efforts. These include:

#### Deutsche Gesellschaft für International Zusammenarbeit (GIZ)

The Climate Protection Programme for Developing Countries (CaPP) is funded by the GIZ). The tools the programme provides have a thematic focus to support the LEG guidelines on the NAP process. Under this programme, GIZ has developed the Stocktaking for National Adaptation Planning (SNAP) tool. This tool is used to take stock of the planning capacities within a country and thereby identifies a point of departure and entry points for the NAP process. In addition GIZ has developed a NAP country-level training tool organized through a series of modules and aligned with the main elements of the NAP process (as per the LEG Technical Guidelines), which can be used when providing countries with support to address their specific needs. The themes for the tools developed through the CaPP include: i) climatic information; ii) mainstreaming; and iii) mandate/institutional capacities. The SCCF-financed project will build on and promote the GIZ tools – in particular SNAP – through Outcome 2.

#### The World Health Organisation (WHO)

WHO has developed a support platform providing guidance to protect health from climate change through health adaptation planning. This guidance promotes an iterative and cross-sectoral process to integrate the health risks of climate change into the NAP process. The guidance to develop a health component of the National Adaptation Plan includes vulnerability assessments, economic tools, gender, early-warning systems, indicators for health system resilience and other health sector-related NAP guidance. Through Component 2, the SCCF-financed project will promote this guidance as part of a cross-sectoral approach to the NAP process.

#### The Global Water Partnership (GWP)

GWP is implementing a number of programmes that support NAP processes relating to water in non-LDCs, for example the *Strengthening technical skills in Africa to advance NAPs* programme. The SCCF-financed project will build on these programmes through further technical capacity development within the water sector. Furthermore, the GWP has established a number of platforms for knowledge sharing within the water sector. The Caribbean Water and Climate Knowledge Platform is an example of such a platform. The SCCF-financed project will build on these platforms by publishing knowledge on good practices, lessons learned and case studies from the water sector on these platforms, under Component 3.

#### Food and Agriculture Organisation (FAO)

Through *FAO-Adapt*, FAO is promoting medium-to long-term adaptation in agriculture, fisheries and forestry. FAO provides information and technical guidance – including access to

a network of technical experts on genetic resources for food and agriculture – for non-LDCs to undertake the NAP process and integrate appropriate knowledge into their NAPs. The SCCF-financed project will work closely with the FAO to leverage this information, knowledge and technical expertise to promote medium- to long-term adaptation in non-LDCs. For example, efforts will be made to feed relevant knowledge into, and draw relevant knowledge from, dedicated knowledge and programming initiatives undertaken by the FAO on climate smart agriculture.

#### International Fund for Agricultural Development (IFAD)

IFAD's Adaptation for Smallholder Agriculture Programme (ASAP) – funded by the International Fund for Agricultural Development (IFAD) – was launched in 2012 to use climate and environmental finance for improve smallholder farmers' access to technical information and tools. ASAP has a 300 million US\$ multi-year and multi-donor financing window, providing a new source of co-financing to scale up and integrate climate change adaptation across IFAD's approximately US\$1billion per year of new investments. These investments include: i) strengthening structural robustness of processing facilities and access to markets, small water-harvesting infrastructure, flood protection measures, rural water supply, water storage facilities (over and underground) and water-use efficient irrigation systems; ii) investments in natural infrastructure such as improved resilience of riparian areas; and iii) investments in 'software' such as the development of knowledge, data and decision support tools on climate resilient cropping systems, adaptation policies, institution building at relevant levels, establishment of farmer associations, enhanced institutional capacities and accountability systems, and disseminating knowledge on climate-smart agriculture into national planning processes (i.e. poverty reduction strategies, agricultural policies, climate change policies). Similarly to the FAO, the SCCF-financed project will expand and disseminate the information, knowledge and technical guidance provided by IFAD, under Component 3.

#### Japanese International Cooperation Agency (JICA)

The Project for Japan-Caribbean Climate Change Partnership seeks to strengthen the capacity of countries in the Caribbean region to invest in adaptation and mitigation technologies, as prioritized in their NAMAs and/or NAPs. These technologies will help reduce the dependence of the Caribbean on fossil fuel imports, setting the region on a low emission development path; as well as improving the region's ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond a disaster response to short-term (extreme) events. The facility will help the integration of climate risks and opportunities into economic planning and budgeting across key sectors, e.g. water, energy, agro-forestry, urban/transport (upstream level), which result in concrete adaptation and mitigation technology investments, e.g. solar PV for irrigation and electricity generation, early warning system equipment, solar water heaters, energy efficient lighting (downstream level). It will provide a regional platform for the promotion of low emission and climate resilient technologies for the Caribbean, considering the multi-sector coordination challenges amongst climate change and other stakeholders in the region. It will also bring regional scale to attract and catalyse additional/incremental technology investments, by removing the barriers preventing investment into these applications: financial (upfront cost of adaptation/mitigation technologies), information (limited awareness of their long-term benefits) and capacity (policy/technical, institutional and individual constraints to embrace these technologies).

#### UNITAR

The objective of the *Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation* project (C3D+) is to strengthen the capacities of Non-Annex I countries and other institutions to address climate change through developing adaptation measures and planning mitigation strategies. To achieve this objective, C3D+ develops and tests tools and methods for developing countries to mainstream adaptation in planning processes.

In addition to the Global Adaptation Network (GAN) initiatives (see Section 2.6), the SCCF-financed project will build on the following initiatives to improve knowledge sharing and promote South-South and North-South cooperation on medium-to long-term adaptation planning:

- UNEP's African Ministerial Conference on the Environment (AMCEN) is a forum which convenes every second year – provides African countries advocacy for environmental management as well as guidance on political events relating to environmental management.
- The Secretariat of the Pacific Community (SOPAC) Applied Geo Science and Technology Division has the objective to apply geoscience and technology to promote development and data-driven adaptation within Pacific Island countries. The Division provides assistance to member countries through the following technical programmes: i) Oceans and Islands Programme; ii) Water and Sanitation Programme; and iii) Disaster Reduction Programme. Technical support is provided across member countries that promote South-South and North-South cooperation on technical themes, including natural resource economics, GIS and remote sensing, technical equipment and services and data management.
- The Caribbean Community (CARICOM) Secretariat promotes the achievement of a number of economic development goals. Among other objectives, the secretariat improves knowledge sharing in the Caribbean region. Therefore, the SCCF-financed project will build on CARRICOM similarly to SOPAC.
- The Forum of Ministers of Latin America and the Caribbean is a forum which convenes every year – provides advice to countries in the LAC region on advocacy for environmental management as well as guidance on political events relating to environmental management.
- The International Centre for Climate Change and Development (ICCCAD) supports growing capacity of Bangladesh stakeholders, while enabling international stakeholders and organisations to benefit from training in Bangladesh, where they can be exposed to the climate change adaptation and increasing knowledge from this emerging field. Through the expertise of ICCCAD and its local partners, international organisations will be exposed to relevant and grounded knowledge that can be shared and transmitted around the world for the benefit of other LDCs and their governments, donors, and international non-governmental organisations (NGOs). Courses typically run for seven days in Bangladesh; 25 participants (similar backgrounds and expertise but different nationalities, particularly Asia and Africa) receive training from three international resource people. ICCCAD has piloted this model in a “mobile” modality in Africa (tailoring the workshops’ topics to region-specific needs and challenges), and is exploring conducting it in other countries in the future. During the preparatory phase of the SCCF-financed project, piloting a mobile modality of the ICCCAD initiative to existing networks – in Africa and Asia in particular – will be further explored.

### **SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)**



### 3.1. Project rationale, policy conformity and expected global environmental benefits

In response to the invitation at COP-17, made to UN agencies and other organizations in considering the establishment of support programs to advance the NAP process, the GEF Secretariat – in collaboration with non-LDC Parties and its Agencies – has considered options for a GSP for national adaptation planning in non-LDCs that have yet to address longer-term adaptation needs systematically.

Given the predicted effects of climate change, there is an urgent need to enhance the capacity of non-LDCs to adapt to these effects in the medium- to long-term. This can be addressed by strengthening institutional and technical capacity in non-LDCs, where needed, to implement interventions that improve climate change management and planning processes, leading to appropriate behavioural changes as well as adoption of soft and hard adaptation technologies across sectors. This capacity-building support should be provided within the context of sustainable development, at both national and sub-national scales.

The SCCF-financed project will provide **institutional and capacity development support** to non-LDCs. It will assist countries to conduct stocktaking activities to identify key gaps and entry points for the NAP process. Capacity needs will be addressed through targeted support. Integration of climate change into planning requires coordination and cooperation across sectors. Training therefore will include participants from planning and line ministries, in particular. This training will focus mainly on the economics of climate change and financing options to address the concern of access to finance expressed by non-LDCs. National institutional mechanisms for coordinating the NAP process will be strengthened through the identification and facilitation of dialogue between key line ministries and institutions. These strengthened institutional mechanisms will consequently be able to facilitate a multi-level, cross-sectoral NAP process. Fostering coordination among different line ministries will also help to identify and align adaptation programmes with other relevant on-going and planned initiatives pertaining to national planning and budgeting. Finally, the SCCF-project will support the development of NAP roadmaps<sup>41</sup> particular to participating non-LDCs to guide the integration of the NAP processes into existing planning and budgeting. These interventions will be done in coordination with other donor-supported capacity development programmes.

The SCCF-financed project will provide **technical support and capacity development** to non-LDCs to support key steps in the NAP process. These steps include *inter alia* conducting vulnerability analyses, accessing and applying climate information and integrating adaptation into sectoral planning as requested by non-LDCs during stakeholder consultations. The project will promote the adoption and application of tools, methods, guidelines and their supplements relating to key steps in the NAP process. To build on and complement – rather than duplicate – other relevant support provided to non-LDCs, the project will draw on, synthesise, adapt and make available relevant existing tools, methods, guidelines and their supplements as well as developing new ones as needed. Examples of such existing tools, methods, guidelines and their supplements created by partner organisations, aligned initiatives and baseline projects will be used, including those developed by WHO, GIZ, LEG and PROVIA. National staff from key ministries – in particular, planning, finance and

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<sup>41</sup> Under the LDCF funded NAP GSP, a few countries (notable examples include Malawi, Bangladesh and Cambodia) have been supported to kick off their NAP process by producing an initial roadmap. It should be noted that all countries have a slightly different view as to what a roadmap should constitute in light of their national circumstances and institutional set-up.

environment – will receive technical training on the application of tools, methods, guidelines and their supplements to guide key steps in the NAP process. Training will take place through sub-regional and thematic workshops as specified by participating non-LDCs as well as through online platforms. Working groups will be established to provide ongoing technical support and collective learning through South-South cooperation.

To **enhance networks and partnerships for knowledge dissemination**, the SCCF-financed project will promote South-South and North-South cooperation. The project will establish knowledge and information systems to be housed on existing platforms, such as those of GAN. These systems will disseminate knowledge and information generated by the project such as case studies of piloted projects, summarised discussions from working groups and online training material. The project will work towards creating synergies with ongoing initiatives – such as the NAP GSP for LDCs – to streamline and centralise knowledge, information and lessons learned on the NAP process. Communities of practice will also be established to promote the sharing of knowledge, information and lessons learned among non-LDCs with similar adaptation priorities and challenges. The project will also pilot public-private partnerships in participating non-LDCs. These pilot projects will serve as case studies on engaging the private sector in medium- to long-term adaptation.

A strongly country-driven approach will be necessary to develop the requisite capacity for advancing medium- to long-term adaptation planning in non-LDCs. This will depend on the national circumstances in each non-LDC in terms of *inter alia*: i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) support already extended by bi- and multi-lateral initiatives to support climate-resilient development at the national, sectoral and local level. The SCCF-financed project will work with countries in a flexible manner, taking into account their specific needs and circumstances. For example, it will be necessary to take stock of on-going, country-driven initiatives – including those financed by bi- and multi-lateral entities – that support medium- to long-term climate resilient planning and budgeting. Furthermore, information gaps, capacity requirements, priority needs and other inputs to advance deliverables will need to be identified early on in respective countries' NAP processes. All project intervention will need to take existing and planned climate-resilient development priorities into account, as well as activities falling under existing development plans.

National and sub-national stakeholders will be mobilised and encouraged to take ownership of the NAP process right from its inception. Lessons learned from previous experiences show that it is essential to not only engage high level leadership from the beginning, but also to clarify the roles and responsibilities of each stakeholder, particularly if the support is to be cross-cutting and ensure integration into existing development plans and budgets. Potential partnerships with national, regional and global institutions will be identified and established, with a view to providing technical support to the transitioning process. The scope of engagement for such stakeholders will be clearly defined during the programme's inception, based on country needs.

Countries will be supported in their efforts to carefully design the institutional and coordination arrangements necessary for planning and implementing climate change adaptation, which will also feed into the NAP process. In this regard, it will be important to recognise that climate change adaptation goes beyond the domain of ministries of environment. National coordinating bodies, notably ministries of finance and planning, will need to engage in the NAP process from the beginning of the programme.

The SCCF project strategy adheres to NAP guidance provided by the UNFCCC, and reflects the needs expressed by non-LDCs. Parties to the UNFCCC have defined a NAP as a “continuous, progressive and iterative”<sup>42</sup> process to enable parties to identify, implement and communicate their vulnerabilities and adaptation actions at the national, sectoral and local levels as well as within the international, multi-lateral process of the Convention.

At COP-17 (Durban), Parties established the NAP’s objectives, namely: i) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and ii) to facilitate the integration of climate change adaptation in a coherent manner into new and existing policies, programmes and activities. The NAP objectives pertain particularly to development planning processes and strategies within all relevant sectors and at different levels, as appropriate<sup>43</sup>. To achieve this, non-LDCs expressed a need for additional support from a GSP. In Durban, the modalities of support and financial arrangements were also decided upon. These modalities of support include:

- technical guidelines for NAPs;
- workshops and other training meetings;
- training activities;
- regional exchanges;
- syntheses of experience, good practices and lessons learned;
- technical papers; and
- technical advice.

## Policy Conformity

### SCCF conformity

The SCCF-financed project is consistent with the SCCF mandate to support adaptation in all vulnerable developing countries.

Country-driven and participatory approach: activities to be undertaken by the project were developed and selected through numerous stakeholder consultations (see Section 2.4 and Annex 20). A country-driven approach will promote the development of the requisite capacity for advancing medium- to long-term adaptation planning. Support from the SCCF project will therefore be guided by national circumstances in each non-LDC in terms of *inter alia*: i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) national investments as well as support already extended by bi- and multi-lateral initiatives to enhance climate resilient development at the national, sectoral and local level.

Supporting a learning-by-doing approach: the project will promote the sharing of lessons learned during project processes through climate change networks under Component 3. This will further improve capacity development by promoting the current and future exchange of knowledge and experience among non-LDCs.

Multi-disciplinary approach: the interventions of the SCCF-financed project require expertise from various disciplines. These include international relations, climate change finance, and technical disciplines such as meteorology and hydrology.

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<sup>42</sup> From the submission by the United States of America.

<sup>43</sup> FCCC/CP/20110/97/Add.1

### Gender considerations

Despite their capability to innovate and lead, women have historically been marginalised from local and national decision-making processes, particularly in developing countries<sup>44</sup>. Such exclusion creates a risk that women's particular needs are not captured in planning. It is therefore important to identify gender-sensitive strategies to ensure that women are included in medium- and long-term adaptation planning to improve their resilience and capacity to adapt to climate change. This is particularly important as climate change affects men and women in different ways. Lower average income, access to education and access to employment compared to men<sup>45</sup> lead to a limited capacity of women to adapt to climate change. The UNFCCC recognises that women have a major role to play as agents of change at different levels of the adaptation process. The SCCF-financed project is aligned with this, and understands that gender equality is a prerequisite for sustainable development.

The SCCF-financed project will mainstream gender equity through the approaches described here.

- Gender-disaggregated indicators and targets were integrated in the results framework of the project at the PPG phase.
- Stakeholder consultations during the project implementation phase will be gender balanced;
- Training sessions and workshops will be delivered with gender sensitivity to ensure that: i) both male and female participants are empowered to participate meaningfully in the trainings; and ii) all participants are made aware of their responsibility to respect the views of all of their colleagues during training sessions. Trainers will be required to have the skills and experience necessary to plan and facilitate gender-sensitive training.
- Knowledge generated by the project will be consolidated into gender-responsive publications, language and messages, ensuring sensitivity towards differences among target audiences.
- The SCCF-financed project will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.

Gender disaggregated indicators will be reported on during monitoring and evaluation (M&E) of the SCCF-financed project. The Technical Support Unit (TSU) will be responsible for monitoring and reviewing gender sensitivity in the project activities and the application of gender-disaggregated indicators. In addition to gender, the project will also ensure that the needs of other vulnerable groups as the elderly, youth, children and less-abled will be prioritised.

### Overall GEF conformity

The proposed SCCF project meets overall GEF requirements in terms of implementation and design.

- Sustainability: enhancing technical and institutional capacities of the non-LDCs are priorities of the project. The sustainability of capacitating interventions will be promoted through long-term training and knowledge sharing mechanisms. For further details see Section 3.8.

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<sup>44</sup> Denton, F. (2002). Climate change vulnerability, impacts, and adaptation: Why does gender matter? *Gender & Development*, 10(2), 10–20. doi:10.1080/13552070215903.

<sup>45</sup> Lambrou, Y., & Piana, G. (2006). Gender: the missing component of the response to climate change. Food and Agriculture Organisation, Gender and Population Division.

- **Replicability:** the SCCF-financed project will systematically document the activities, decisions, strategies, results, lessons learned and guidelines so that they can be used for the design and implementation of future projects. This documentation will enable the development of a robust planning framework in conjunction with stakeholder participation. For further details see Section 3.9.
- **Monitoring and Evaluation (M&E):** the project design includes an M&E framework. This framework will be used to measure the indicators of the proposed design. Lessons learned will be documented and disseminated.
- **Stakeholder Involvement:** the project design was developed through extensive stakeholder consultation. The stakeholders' involvement in the project will be clearly defined and signed off by each stakeholder group during the initial phases of project implementation. For further details see Section 2.5 and Annex 20.

### 3.2. Project goal and objective

The **goal** of this LDCF programme is to facilitate effective medium- to long-term planning for adaptation to climate change in non-LDCs. The objective of the project is to **strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.**

### 3.3. Project components and expected results

The capacity of non-LDCs to undertake iterative and comprehensive national adaptation planning in the medium- to long-term is constrained by various factors. These include *inter alia*: i) ineffective mechanisms for cross-sectoral communication; ii) limited technical capacity to undertake the necessary economic and other assessments and apply the available information and toolkits to inform medium- to long-term planning; and iii) limited access to knowledge and lessons learned on integrating climate change adaptation into medium- to long-term planning. As a result of the abovementioned constraints, non-LDCs have a limited capacity to adequately respond to the negative effects of climate change. Through the components and outcomes described below, the SCCF-financed project will support non-LDCs to advance their NAP processes by strengthening institutional and technical capacities as well as improving access to knowledge and lessons learned on adaptation planning through improved North-South and South-South collaboration.

#### **Component 1. Institutional support to develop national-level roadmaps (Overseen by UNDP)**

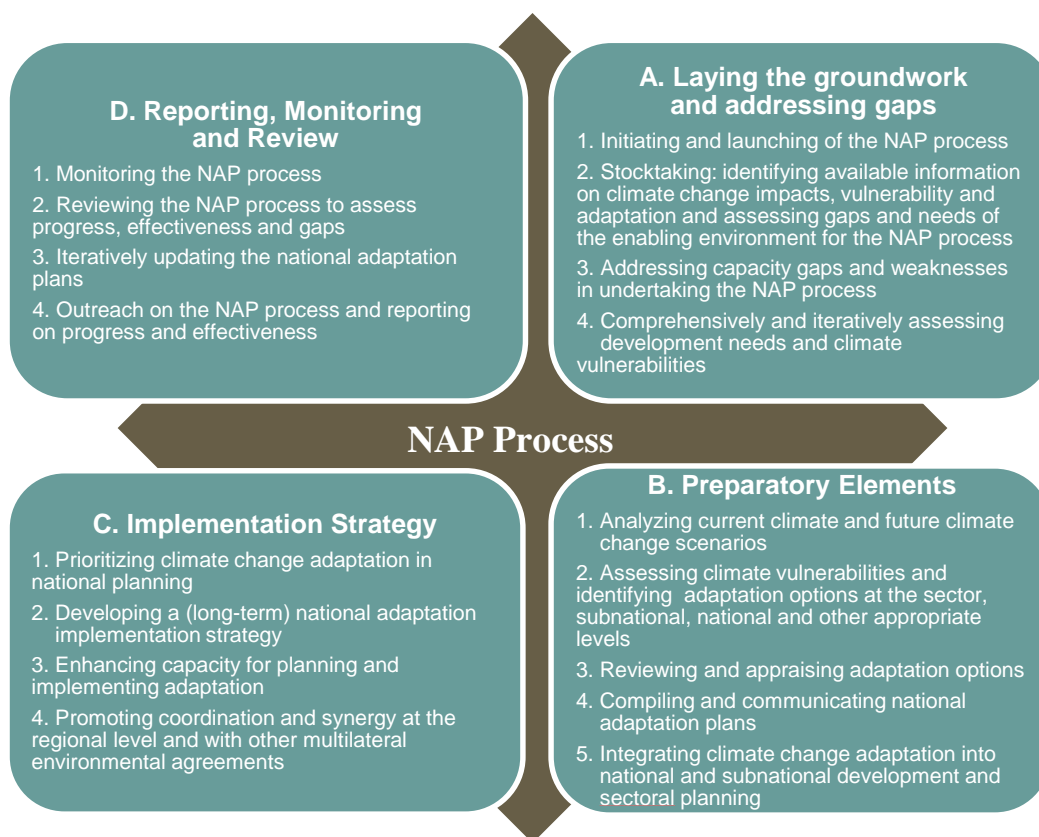
##### *Adaptation alternative*

Consistent among consultations was the need for flexibility in the NAP process so that preferred approaches to addressing climate change continue. This is consistent with COP guidance which states that NAPs should not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action<sup>46</sup>. Countries also expressed the need for tailored support in order to further advance in the NAP process.

#### **Figure 2: NAP Process<sup>47</sup>**

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Decision 5/C p .17, paragraphs 3 and 4  
<sup>47</sup> Guidelines for LDCs (LDC Expert Group, 2012)



In response, this outcome seeks to support countries by a) taking stock of information and processes of relevance to the NAP and identify gaps, b) providing technical training to address those gaps, and c) providing support towards developing country-specific NAP roadmaps.

For countries requesting support from the GSP to advance the NAP process, a stocktaking is needed to take inventory of existing planning documents, highlight potential entry points for the NAP process, and identify capacity gaps that need to be addressed in order to integrate climate change into medium- and long-term planning. As stated above, there are ongoing related efforts that could be built upon to either expand their scope (i.e. successful sectoral/sub-national plans) or revise the vision towards the longer term. Efforts include identifying or revitalizing national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead (e.g. UNFCCC focal point), and identify key stakeholders. Representation in the national team should include national, subnational, and community level, as well as, where appropriate development partners, academia, and the private sector.

Non-LDCs have more limited access to donor and vertical climate funds. It is not surprising therefore that access to finance and related training were key concerns raised by countries during consultations undertaken during the PPG phase. For this reason, training available through this outcome is focused on economics and finance. Training will be made available on cost-benefit analysis, innovative financial schemes and developing bankable projects. Where possible, training will be delivered through small in-country workshops promoting inclusion of participants of various sectors.

Given the complexity of the subject matter, it is important that the training material is made available for a longer period of time, in a place where it is accessible, to ensure sustainability. As part of PPG activities, discussions were initiated with universities in countries where the ECCA programme is active (e.g. the University of Peradeniya in Sri Lanka) and learning institutions (e.g. United Nations University (UNU)) to shape the available ECCA programme training materials into a 2-week course publically available to government staff. Like the ECCA programme, the 2-week course would be focused and tailored to provide government staff with the knowledge and skills needed to use economic analysis to inform decision-making related to adaptation planning. SCCF funds will be used to further pursue this initiative, developing the needed course materials and formalizing the course in the learning institutions. Training materials will also be made available online so that training participants can revisit the material or so that new interested government staff can explore topics based on their availability and at their own pace.

Steps and support needed by countries to advance the NAP process may exceed the remit or timeframe of the SCCF project. In such cases, SCCF funds will be used to support countries in developing a NAP roadmap. The roadmap will highlight the necessary activities, costs, and timeline to develop, implement, monitor, review/evaluate and report on the NAP process. The roadmap will also identify potential financial resources for addressing these needs, including public and private finance.

### **Outputs and Indicative Activities**

The outputs and activities, detailed below, follow a sequence. While it is possible that a single country benefits from all three outputs, the outcome is designed in a way so that outputs can be delivered to countries separately. Support available to countries can therefore be tailored to specific country needs and to the particular country's stage in the NAP process. This tailored approach addresses a concern expressed by countries about a one-size-fits-all approach to traditional technical assistance programmes, and is consistent with the recommendations of the Adaptation Committee's NAP Task Force to match NAP support to country needs.

Given the budgetary and time constraints of the SCCF project, and the large number of non-LDCs, it will be important to focus in-country support. Support to countries will be based on demand, and will consider country priorities representing different stages of the NAP process, as well as a balanced regional distribution and agency comparative advantage. Several countries have already expressed interest in support from the SCCF project during the PPG stage (see Annex 20). This should serve as a basis for country selection to receive tailored support from outcome 1.

*Output 1.1. Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified*

A successful approach employed by the LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, includes a team of international and local expertise to provide in-country support. Expertise of the team members may vary reflecting the needs of the country. UNDP's roster of experts may be used to identify international expertise. Consultations with the country, with support from the UNDP Country Office as necessary, will help identify local expertise.

- 1.1.1. Revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders
- 1.1.2. Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process
- 1.1.3. Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels
- 1.1.4. Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalized on and weaknesses that need to be strengthened)
- 1.1.5. Document the results of various stakeholder consultations so that countries can build and act upon priorities

Note: Target countries will be selected during the first part of project implementation, based upon desk review/surveys and taking into account notes from the consultations below. The Project Board and Technical Advisory Group will be involved in this process. The project team will also engage and coordinate with other development partners—such as GIZ, USAID as well as other UN Agencies supporting the NAP process to help countries meet their technical support needs.

*Output 1.2. Institutional coordination and financial arrangements are strengthened/established to support NAP process*

Integration of climate change into planning requires coordination and cooperation across sectors. Training therefore should include participants from planning and line ministries. As stated above, the training made available through this output is focused mainly on economics and finance – to better prepare countries to access and manage climate finance (i.e. public, private, or development assistance).

- 1.2.1. Identify key national and sub-national institutions relevant to the NAP process
- 1.2.2. Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP
- 1.2.3. Provide in-country training on identified needs, including:
  - Applying the LEG guidelines on NAPs in local contexts
  - Conducting project and sectoral level cost-benefit analysis to identify economically-efficient and sustainable adaptation options, including web-based courses, as well as housing training materials in local universities and/or learning institutions (e.g. UNU)
  - Introduction of principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.)
  - Techniques of designing/developing bankable projects

*Output 1.3. NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.*



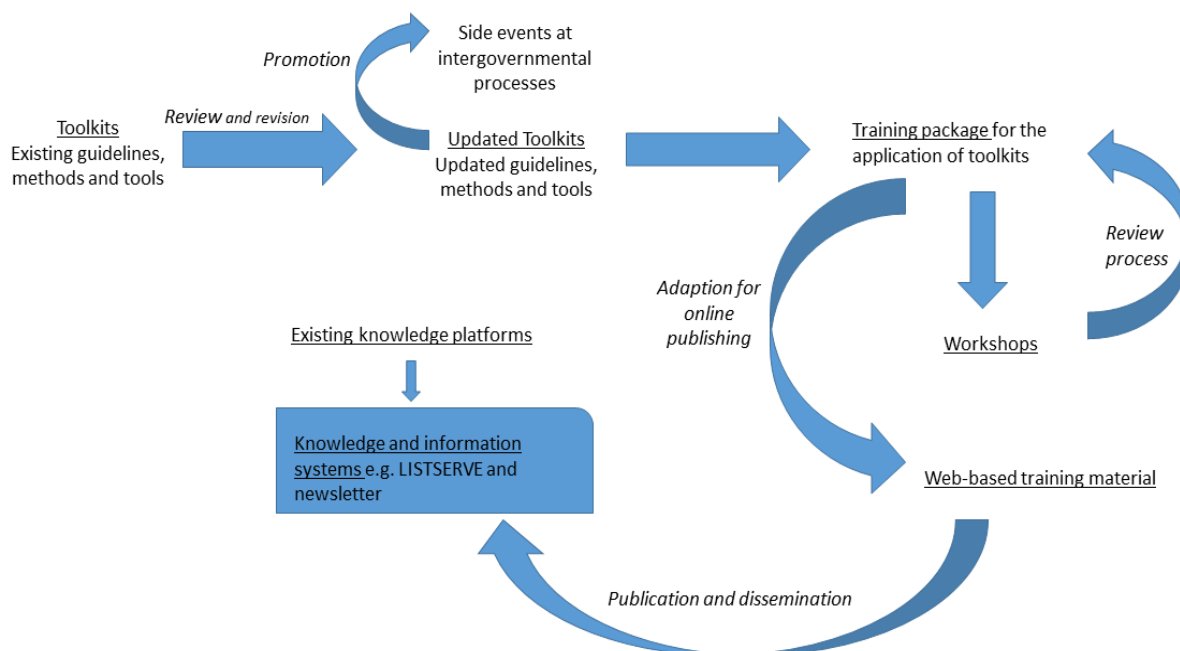
Where support needed by selected countries exceeds the scope and/or timeframe of the project, SCCF funds will be used to assist countries in developing a NAP roadmap. This will detail steps and support needed by countries to advance the NAP process by outlining the necessary activities, budget and timeline to develop, implement, monitor, review/evaluate and report on the NAP process. The roadmap will also identify potential resources including use of public finance as a means of catalysing private finance.

- 1.3.1. Facilitate the conduct of stakeholder consultations to draft and finalize country-specific NAP roadmap
- 1.3.2. Support the formulation of the country-specific NAP roadmap, including requirements for reporting (in line with LEG technical guidelines in local contexts)

## **Component 2. Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP)**

### *Adaptation alternative*

Under Component 2, support will be provided to non-LDCs to access an improved package of toolkits to inform a comprehensive and iterative NAP process. These toolkits, some of which have been primarily developed for LDCs but may also be applicable to non-LDCs, will cover topics such as: i) development and application of climate scenarios; ii) vulnerability and risk assessments; iii) cost-benefit analyses of adaptation interventions; iv) Climate Public Expenditure and Institutional Reviews (CPEIRs); and v) financial costing of adaptation interventions. The project will seek the possibility of improving and adjusting the existing tools for the non-LDC context. The project will enhance access to training and knowledge on the application of toolkits for the NAP process by: i) reviewing and updating the current available toolkits; ii) promoting the use of the revised toolkits; ii); ii) developing a training package – including training material – for non-LDCs to apply the toolkits; and iii) promoting knowledge sharing on the application of the toolkits across sectors within non-LDCs. This will enhance the capacity of non-LDCs to undertake the NAP process through improving the availability and awareness of the toolkits as well as increasing national stakeholders' technical skills to apply the toolkit to inform medium- to long-term adaptation planning. Please see Figure 3 for a schematic view of how the toolkits will be developed and used to enhance medium- to long-term planning for climate change adaptation.

**Figure 3: Review, development and application of toolkits to support the NAP process**

*Output 2.1: Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.*

At the start of the project, the current suite of available toolkits for medium- to long-term adaptation planning will be reviewed to identify: i) gaps in the themes relevant for non-LDCs; and ii) limitations in the availability and applicability of toolkits to non-LDCs. On the basis of this review, the existing toolkits will be updated to address limitations in their availability and applicability to non-LDCs. Where thematic gaps are identified, new toolkits will be developed. Additionally, toolkits will be translated into at least 6 languages<sup>48</sup> to promote their application across non-LDCs. Existing toolkits and supplements to be reviewed and promoted include *inter alia*:

- PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change, including decision-tree analysis;
- the UNFCCC Compendium on methods and tools to evaluate impacts of, and vulnerability and adaptation to, climate change;
- UNFCCC LEG Sourcebook on the NAPs (currently under development)
- sector specific guidelines e.g. the WHO guidance to protect health from climate change through health adaptation planning;
- relevant tools/guidance developed under the NAP GSP for LDCs (e.g. PROVIA user companion: Supporting NAP development with the PROVIA guidance);
- GIZ Smart National Adaptation Planning Tool (SNAP) and National Adaptation Plan country-level training; and
- tools/guidance on M&E/MRV, Loss & Damages, CPEIRs, climate finance readiness, etc.

<sup>48</sup> Indicative languages include: English; Spanish; French; Russian; Arabic and Portuguese.

The use of existing and new toolkits will be promoted<sup>49</sup> at inter-governmental processes for climate change – e.g. UNFCCC events – as well as through the knowledge and information systems established/further developed in Output 3.1. To promote the use of the toolkits for advancing the NAP process, a technical training package on application of the toolkits will be developed. This package will include training material on the updated/developed toolkits. Furthermore, the technical training package will be informed by: i) the lessons learned on training from the NAP GSP for LDCs; ii) the technical support provided in Component 1; and iii) feedback from thematic workshops in Output 2.2.

The activities to be implemented under Output 2.1 are:

- 2.1.1 Undertake a stocktake and gap/needs assessment of tools, methods, guidelines and their supplements to support non-LDCs to advance the NAPs process.
- 2.1.2 Develop new or adapt existing tools, methods, guidelines and supplements where necessary following the findings from the needs assessment for non-LDCs to follow NAP guidelines.
- 2.1.3 Promote the use of new and existing tools, methods and guidelines and their supplements through intergovernmental processes (e.g. side events at SBIs/SBSTAs) and the knowledge and information systems established through Output 3.1.
- 2.1.4 Develop a training package for non-LDCs – including training material – for supporting non-LDCs to advance their NAP process using new and existing tools, methods, guidelines and their supplements as well as lessons learned from NAP GSP for LDCs and implementation of one to one support from Component 1.

*Output 2.2: National technicians trained through sub-regional and thematic workshops in the use of tools, methods and guidelines to advance the NAP process including budgeting for medium- to long-term adaptation.*

To train national technicians to apply the toolkits from Output 2.1, the project will establish thematic/sub-regional working groups across non-LDCs. These working groups will facilitate exchange of experiences to share knowledge, lessons learned and best practices on the application of the toolkits from Output 2.1. Thematic working groups will focus on experiences across non-LDCs related to particular sectors. Indicative themes include: i) climate-related risks e.g. sea-level rise (SLR), floods, cyclones, drought; ii) the application of particular tools e.g. cost-benefit analyses, vulnerability and impact assessments; and iii) sector-specific themes e.g. water, agriculture, health. Sub-regional exchanges will also be organised to focus on the application of the toolkits within countries with similar adaptation priorities. For example, non-LDCs from West Asia with similar arid climates could exchange experiences on adaptation interventions in the water sector. As another example, SIDS could exchange experiences on adaptation interventions with relation to disaster risk management. These sub-regional exchanges will also provide a platform for coordinated adaptation planning within cross-border areas e.g. the Ganges-Brahmaputra-Meghna river basin or Mekong river basin.

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<sup>49</sup> The revision and promotion of these methods and tools complement Activities 10 and 11 of the Adaptation Committee workplan: “Establish an *ad hoc* group, in collaboration with relevant organizations and experts, to work on modalities and guidelines for NAPs for non-LDC developing countries for consideration by the Adaptation Committee at its second meeting” and “Further consider developing modalities and guidelines to support non-LDC developing countries in the planning, prioritization and implementation of national adaptation planning measures”, respectively. The guidelines and tools can also be promoted through Activity 12 of the Adaptation Workplan “Establish a database or clearing house type mechanism for information related to national adaptation planning”.

Thematic and sub-regional working groups will exchange experiences online through the communities of practice established/enhanced in Output 3.1. Knowledge generated and good practices that emerge from the application of toolkits will be relayed through the working groups to national- and local-level stakeholders in non-LDCs across relevant sectors. To further develop technical capacity, sub-regional or thematic workshops will be held to provide formal training along similar themes to those identified for the working groups. Where workshops provide training on the toolkits for medium- to long-term adaptation planning, the training package developed in Output 2.1 will be used. National stakeholders – in particular those from the relevant working groups – will attend these workshops. These national stakeholders will serve as champions for the NAP process and will work to garner support for the NAP process from other national and local-level stakeholders in their respective countries. The proceedings from the workshops will be disseminated to national and local-level stakeholders in non-LDCs. The workshops will also include a review process. This will encourage attendees to provide feedback on the practical application of the toolkits. These reviews will be used to inform the training package developed in Output 2.1. The review process will facilitate an iterative and adaptive approach to further refining the training package.

The activities to be implemented under Output 2.2 are:

- 2.2.1 Establish thematic/sub-regional ‘working groups’ across non-LDCs to attend exchange of experiences to promote South-South cooperation.
- 2.2.2 Organise at least 10 sub-regional<sup>50</sup> or thematic workshops on the application and use of tools, application of methods, and NAP guidelines<sup>51</sup> and relevant elements of the Adaptation Committee work programme using the training material developed in Output 2.1.4.
- 2.2.3 Review the feedback from thematic workshops’ participants to develop recommendations for future training and feed them back to the training package.

*Output 2.3: Web-based training materials prepared for use by countries as they commence their respective NAP processes.*

The project will develop appropriate, applicable and accessible training material on the NAP process for non-LDCs to access online. To support coordinated training, the training package – developed in Output 2.1 and applied in Output 2.2 – will be adapted to be suitable for dissemination through web-based media. This training material will be shared through the knowledge and information systems established in Output 3.1. Furthermore, to improve the applicability of the toolkits and training material, it will be updated through an iterative approach, based on attendees’ feedback from the sub-regional and thematic workshops in Output 2.2.

The activities to be implemented under Output 2.3 are:

- 2.3.1 Develop web-based training material from the training material developed in Output 2.1 to support the application of tools, methods and guidelines for the NAP process.
- 2.3.2 Update tools, methods and guidelines, and training material based on review of thematic workshops.

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<sup>50</sup> At least two workshops in each of the following regions: Asia Pacific; East Europe and Central Asia; Latin America and Caribbean; Middle East and North Africa; and sub-Saharan Africa.

<sup>51</sup> These refer to all existing guidelines produced by organizations beyond LEG e.g. WHO and GIZ

### **Component 3. Knowledge dissemination to enhance international and regional cooperation. (overseen jointly by UNDP and UNEP)**

#### *Adaptation alternative*

Under this Outcome, the SCCF-financed project will focus on making existing knowledge widely available as well as facilitating South-South and North-South transfer of knowledge to non-LDCs for future work (particularly for the benefit of those non-LDCs that do not receive direct support through this project). Sustained access to knowledge and lessons learned generated/collated by the project will help to maintain the technical and institutional capacities required by non-LDCs to undertake the NAP process. Consequently, Component 3 will focus on disseminating knowledge and exchanging country-specific lessons and experiences on advancing the NAP process through improved South-South and North-South cooperation. Experiences will include case studies, demonstrating NAPs as a means of reducing vulnerability. To this end, systems to facilitate knowledge sharing will be established or enhanced. Dedicated web-platforms will be used for these systems, building on existing knowledge platforms such as the WARN CC, ALM, APAN and AAKNet and those established through the NAP GSP for LDCs. This will improve cost-effectiveness and enhance existing online knowledge exchange. This outcome also supports countries with the challenge of access to finance by creating a platform for public-private partnership for adaptation investment, and sharing related lessons learned for replication in other countries.

*Output 3.1: Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation into medium-to long term development planning (overseen by UNEP).*

Lessons learned from the NAP GSP for LDCs have revealed that gaps in knowledge and technical capacity for the NAP process can be effectively addressed through exchanging lessons and knowledge on advancing the NAP process. In accordance with this recommendation, the project will promote such an exchange through improved South-South and North-South cooperation. To this end, the project will build upon the existing regional platforms for adaptation as well as platforms created by the NAP GSP for LDCs. It is proposed that all resources for NAP processes be housed on one platform for both LDCs and non-LDCs. The project will therefore review the existing international NAP platforms with a view to enhancing access to a central platform to exchange lessons and knowledge on advancing the NAP process. Regionally, the project will review adaptation platforms and enhance or develop platforms for those regions currently without effective platforms. Indicative regional platforms to be reviewed include REGATTA, WARN CC, AAKNet, APAN, Clima South and Clima East. Knowledge and information systems will be developed on the central NAP platform as well as other regional adaptation platforms. These systems will include a quarterly newsletter, a LISTSERVE, and forums to promote discussions of adaptation themes. The knowledge and information published on these systems will include: i) case studies; ii) lessons learned; iii) practices on undertaking the NAP process; iv) training materials for the toolkits developed in Output 2.3; and v) summaries of discussions from communities of practice and working groups.

The project will establish or build upon existing communities of practice within sectors, sub-regions or adaptation themes to promote South-South and North-South cooperation. Communities of practice will interact regularly – both online and offline – to: i) share related experiences in undertaking the NAP process; ii) coordinate adaptation interventions; iii) map knowledge and identify gaps for future training and knowledge sharing; and iv) share

resources such as locally developed toolkits. This will improve collective learning and knowledge sharing. Existing communities of practice on which the project will build include GEO-SIDs and UNEP SFP. Furthermore, the working groups established in Output 2.1 will operate through the communities of practice as more focused groups, particularly for the application of toolkits. Establishing and developing knowledge and information systems and communities of practice will enhance South-South and North-South cooperation and improve the dissemination of knowledge and lessons to and between non-LDCs.

The activities to be implemented under Output 3.1. are:

- 3.1.1. Establish knowledge and information systems (including quarterly newsletter and LISTSERVE, and promotion of thematic discussions) through existing platforms where possible (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima South, Clima East) or developing platforms to communicate on NAPs and link users to available tools and resources<sup>52</sup>.
- 3.1.2. Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experiences and review NAP-related products.

*Output 3.2: South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).*

Reflecting interests expressed by stakeholders, Output 3.2 facilitates knowledge sharing related to the NAP process among countries. SCCF resources will be used to collect country experiences and best practices related to the NAP process, and disseminate them using the already-established web-based platform used currently by the LDCF-funded *Assisting least developed countries with country-driven processes to advance national adaptation plans* project<sup>53</sup> but which can be expanded easily to cater to the specific needs of other developing countries. This will include experiences from LDCs gathered from the above-named project, as well as from non-LDCs collected through the activities of outcomes 1 and 2 demonstrating:

- the NAP as a means to build adaptive capacity and thus reduce vulnerability
- value of evidence-based evaluation approaches towards deciding on economically-sound investments
- use of public finance to catalyze private finance, including for implementation of the NAP

During PPG consultations, countries recognized an appetite to upscale adaptation interventions and contribute to technical and financial sustainability of national and sub-national policy interventions (including NAPs) by involving the private sector. Based on LECB experience in developing strategies for engaging private sector in mitigation investments, and building on the private sector analysis developed (for Thailand, Indonesia, Viet Nam, Mexico and Chile), this Output will be used to provide technical expertise to identify entry points for engagement of private sector in adaptation technologies/businesses. Some entry points

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<sup>52</sup> This will complement Activity 6 of the Adaptation Committee workplan “Compile a list of regional centers and networks working on adaptation, with a view to strengthening their role in supporting country-driven adaptation actions”

<sup>53</sup> <http://undp-alm.org/projects/naps-ldcs>

could include: private-sector involvement in formulation of national or sectoral plans/scenarios, corporate programmes to achieve resilience, venture capital investments in adaptation technologies, studies on investment opportunities; etc.

Along with these entry points, the proposed project can provide technical guidance to: a) clearly articulate “business cases” to involve the private sector in adaptation investments as part of the overall NAP process; and b) make recommendations to formulate policy frameworks that attract active engagement of the private sector in the overall NAP process, including investment participation. In parallel, this exercise could help identify which factors have to be addressed during the NAP process to facilitate private sector involvement in implementation of NAP policies and/or projects. Further, this Output will feed these lessons and experiences into the virtual platforms created in Output 3.1 to foster regional, South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

The activities to be implemented under Output 3.2. are:

- 3.2.1. Collect and disseminate ‘case studies’, best practices and lessons learned of NAPs preparation, implementation, coordination, monitoring
- 3.2.2. Identify entry points, formulate business cases, and policy frameworks for private sector involvement in NAP/ adaptation processes. In countries such as Thailand, Indonesia, Viet Nam, Mexico and Chile, support will build on work that has been done through other programmes such as the LECB programme.
- 3.2.3. Feed lessons and experiences into the virtual platforms created in Output 3.1 to foster regional and South-South exchange and partnerships and private sector financial opportunities

#### **3.4. Intervention logic and key assumptions**

The SCCF-financed project assumes that participating non-LDCs will have developed sufficient technical and institutional capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes without limited external support. However, experience from previous GSPs shows that there are varying degrees of progress and similarly varying degrees of support needs among developing countries. For this reason, the project interventions are designed to establish systems to provide continued support to non-LDCs beyond the project’s duration (see Section 3.8). However, the options for expanding the scope and duration of the support mechanism should not be precluded.

#### **3.5. Risk analysis and risk management measures**

A number of risks threaten the success of the programme. These risks are summarised in Table 2, along with appropriate mitigation measures to minimise the potential threat posed by the specific risk. A detailed risk analysis is included as Annex 22.

**Table 2. Risks and Mitigation Measures**

<b>Key Risks</b>	<b>Level</b>	<b>Risk Mitigation Measures</b>
<b>Low predictability of finance for advancing the</b>	H	Many non-LDCs expressed concerns on access to – and dependence on – donor funding. The project will thus focus on

<b>NAP process beyond the project duration</b>		<p>supporting national planning and budgeting to integrate climate change, and engaging the private sector in adaptation activities.</p> <p><u>National planning and budgeting</u> Through inter-ministerial dialogue, the project will help sensitise planning and finance ministries to the need to integrate climate change into planning and budgeting, as a means of addressing development needs. Training on economic analysis will enable policy makers to make informed decisions in the face of scarcity of financial resources for adaptation.</p> <p><u>Engaging the private sector</u> Non-LDCs cover a broad range in terms of economic development and private sector potential. The project will pilot a platform for public-private partnership, which will link adaptation ideas with private sector investment. Best practices and lessons learned can lead to the replication of the platform in other countries.</p>
<b>Coordination with development partners on NAP-related support activities</b>	L	<p>This project alone cannot support the NAP process in all non-LDCs. However, consultations with development partners indicate that programmes are underway which indirectly support the NAP process by addressing challenges expressed by non-LDCs. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs.</p>
<b>Effective coordination at national level</b>	M	<p>Embarking on a comprehensive NAP process requiring cross-sectoral collaboration was seen as daunting by many countries. The project will facilitate this process in a number of non-LDCs by providing support towards developing a NAP roadmap, which will: i) define roles based on country consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation. Invitations to training workshops will focus not only on delegates from the Ministry of Environment but also on other key ministries such as Finance and Planning in order to promote cross-sectoral dialogue.</p>

### 3.6. Consistency with national priorities or plans

The project will assist countries in ensuring the consistency of medium- to long-term adaptation processes with national, sectoral and local development priorities, processes, plans and strategies. The project is designed to complement past initiatives and enabling activities, which are by design nationally driven.

The project is consistent with the needs of non-LDCs, in the context of planning for medium- to long-term adaptation activities for advancing NAPs. These needs have been expressed during submission of collective views of non-LDCs<sup>54</sup> in response to the invitation from the decisions at COP-16<sup>55</sup> and COP-17<sup>56</sup>, as well as in a series of consultations between UNDP/UNEP and representatives of non-LDCs. In particular, the priority needs identified through these fora include:

- a particular and dedicated process for NAP activities;
- institutional and technical support; and

<sup>54</sup> FCCC/SBI/2014/L.19

<sup>55</sup> 1/CP.16

<sup>56</sup> 5/CP.17



- mechanisms to share lessons learned and knowledge from LDCs and other non-LDCs undertaking NAP processes.

Technical and institutional support provided will be consistent with the NCs of non-LDCs. These NCs include details such as: i) vulnerability assessments; ii) status of financial resources and transfer of adaptation technology; iii) education, training and public awareness; and iv) policies and strategies for climate change mitigation and adaptation. All interventions – including the development of roadmaps – will take into account the details in the NC as well as the existing technical and institutional capacity developed during the preparation of NCs.

The architecture and the instruments through which the project will provide assistance have been elaborated taking into account the needs expressed by non-LDCs.

### **3.7. Additional cost reasoning**

The effects of climate change occur at regional, national, sectoral and local levels. Climate change already poses a threat to development in non-LDCs, and this threat is likely to increase in the future as climate change intensifies. Those sectors that are negatively affected by climate change include water, energy, agriculture, tourism and health. For example i) decreased rainfall reduces crop yields; ii) an increase in natural disasters can reduce tourism at affected localities; and iii) human health is impacted when floods contaminate drinking water sources with sewage. Local communities in non-LDCs are particularly vulnerable to the effects of climate change as they heavily rely on ecosystems for their livelihoods and have limited financial capacity to cope with climate change inflicted losses. Intact ecosystems are essential in providing these communities with vital ecosystem services such as clean drinking water. Climate change can compromise such services and therefore threaten livelihoods. As a result of the subsistence nature of many local communities in LDCs, climate change effects, such as failing crops in areas vulnerable to droughts, can be devastating.

Without SCCF resources there will be limited planning for climate change adaptation in the medium- to long-term in non-LDCs. Planning to address climate change impacts in non-LDCs does not adequately include medium- to long-term considerations because of poor institutional arrangements and/or limited access to climate information, knowledge and lessons learned.

The SCCF-financed project will assist non-LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement cross-sectoral adaptation plans to climate change in a medium- to long-term framework.

### **3.8. Sustainability**

The design of the SCCF-financed project emphasises sustainability. As non-LDCs have varying levels of capacity for undertaking medium- to long-term adaptation planning, addressing technical capacity and information gaps for the NAP process will differ from country to country. For this reason, the project is designed to build technical capacity and provide the knowledge, skills and tools necessary for countries to continue to advance their NAP process beyond the duration of the project.

Access to finance, and innovative approaches to address this sustainability concern expressed by countries, is echoed throughout the project document. By introducing countries to the principles of innovative financial schemes and non-grant de-risking mechanisms (e.g. issuance of green bonds for adaptation for municipalities, loan guarantees, investment/revolving funds, etc.) (Output 1.2), the SCCF project is designed to broaden the perceived scope of available finance to further advance the NAP process, especially NAP implementation, beyond the project duration. Output 3.2 takes this further, by supporting pilot countries to assess the feasibility of these approaches, as well as private sector investment in adaptation, in their countries. Related best practices and lessons learned will be shared on the project's knowledge platform to inform other non-LDCs.

Training is provided to government staff on the use of economic analysis for adaptation planning and the development of bankable projects. This will not only enhance national capacity to access external climate finance, but also enable government staff to better present proposals for funding by domestic public/private resources - supporting non-LDCs to access finance in the longer term.

The economic analysis training of Output 1.2 will be developed into a 2-week course and housed in local and/or international universities and learning institutions (e.g. University of Peradeniya in Sri Lanka and UNU). This will ensure the training is available beyond the duration of the project, supporting decision-makers to make informed decisions related to adaptation investments.

By supporting countries to develop NAP roadmaps, gaps in institutional and financial arrangements to support the NAP process will be identified. Potential measures and means to address those gaps will also be detailed, thus supporting non-LDCs to continue advancing their NAP process after the project.

The interventions under Component 2 – particularly the development of web-based training material – promote the use of the NAP toolkits beyond the lifespan of the project. Additionally, establishing and/or promoting working groups and communities of practice as well as establishing knowledge and information systems will promote the continuous sharing of technical knowledge and lessons learned among non-LDCs as well as with other countries through South-South and North-South cooperation. This will support long-term technical capacity to undertake adaptation planning in non-LDCs beyond the lifespan of the project.

### **3.9. Replication**

Technical capacity building in non-LDCs will promote replication and up-scaling of activities related to the NAP process. Firstly, government line ministries from non-LDCs will attend sub-regional and thematic workshops on the application of toolkits for the NAP process. The content of the workshop will be informed by the needs of the attending representatives from non-LDCs. The resultant improved accessibility and usability of toolkits for the NAP process – including the development of supplementary online training material – will promote the replication of activities for the NAP process in all non-LDCs. Secondly, the active participation of government line ministries in the sub-regional and thematic workshops will promote national support for the development of national planning and strategies that advance medium- to long-term adaptation planning that is country-specific and aligned with national priorities. The online training material on NAP toolkits will promote further training activities at all levels of government within attending non-LDCs. Finally, improved

mechanisms for sharing knowledge and lessons learned will promote the replication of NAP related activities in non-LDCs.

Case studies of country experiences related to the NAP process, including engagement of the private sector and innovative financial approaches to improve access to finance, will be shared through Outcome 3. This will support countries at earlier stages of the NAP process both during and beyond the duration of the project.

### **3.10. Public awareness, communications and mainstreaming strategy**

The active participation of government line ministries in the programme will encourage the development of national planning and strategies that advance medium- to long-term adaptation planning that is country-specific and aligned with national priorities. Capacity building in non-LDCs will promote replication and up-scaling of activities related to the NAP process. Results from the project will be consistently disseminated within and beyond the timeframe of the project through the knowledge and information systems established on existing platforms in Output 3.1. Additionally, UNDP and UNEP are connected to a number of well-established information sharing networks and forums – such as the ALM and the Global Adaptation Network – which will provide the regional and global connecting points for the exchange of project knowledge. Lessons learned from the project will be disseminated on these networks – as well as other regional networks – through Output 3.2. Furthermore, the project will participate, as relevant and appropriate, in scientific, policy-based and/or other relevant knowledge networks, which may be of benefit for the project. An effort will be made to establish a systematic exchange of knowledge with the global and regional knowledge institutions and centres of excellence to identify, analyse, and share lessons learned that might be beneficial to the design and implementation of NAP support initiatives. For example, relevant knowledge will be fed into, and drawn from dedicated knowledge and programming initiatives undertaken by: i) FAO and IFAD on climate smart agriculture; ii) GWP on adaptation in the water sector; iii) AMCEN, CEEPA, SOPAC and ICCCAD; and iv) UNITAR, GIZ and the Adaptation Committee on institutional capacities for NAP processes.

### **3.11. Environmental and social safeguards**

The SCCF-financed project is anticipated to have significant environmental benefits. The improved adaptation to climate change of the participating non-LDCs involves enhanced planning in the medium- to long-term in all relevant sectors, including environmental management. The support mechanism will contribute to improved livelihoods of communities within the participating non-LDCs, while also increasing their climate change resilience and adaptive capacity. As such, these can be considered ‘no regrets’ measures since the activities will improve baseline conditions even where climate change effects are less severe than anticipated.

The UNEP checklist for Environmental and Social Safeguards has been completed (Annex 18). This checklist will be reviewed annually by the PMU. The support mechanism’s activities will provide sustained environmental benefits and should not require strategic environmental assessments (SEAs) or environmental impact assessments (EIAs) to be undertaken in any of the participating countries.

The SCCF-financed project will contribute to national development priorities, and will assist in the provision of socio-economic benefits in the participating non-LDCs. Relevant

stakeholders within participating countries will be consulted throughout the implementation of the project, and will participate in the development of the activities.

The SCCF-financed project will include a focus on gender equity and will promote gender-sensitivity during the implementation of the programme activities. This will be in alignment with the relevant national gender equity targets of participating countries and international agreements such as the third MDG<sup>57</sup>.

#### **SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS**

UNDP and UNEP will be the GEF Implementing Agencies (IAs) for this initiative. Two project documents outline the distinct responsibilities of each agency within the common logical framework.

Outcome 2 and Outcome 3/Output 3.1 will be implemented by UNEP DEPI. The project will be executed by UNEP ROAP, who will be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, and organisation of regional workshops, in collaboration with relevant UNEP divisions and regional offices. The costs of UNEP ROAP execution services will be borne from the Project Management Cost budget. UNEP DEPI will delegate spending authority to ROAP through annual sub-allotments and UNEP-GEF Climate Change Adaptation Unit (CCAU) will monitor expenditures and process sub-allotments. UNEP-GEF CCAU will approve the budget that UNEP ROAP can spend within the approved spending limits. The project will be overseen by a UNEP GEF Task Manager while day-to-day management will be undertaken by a Technical Specialist based in ROAP who will be recruited and paid for by the project.

Outcome 1 and Outcome 3/Output 3.2 will be implemented following UNDP's Direct Implementation Modality (DIM)<sup>58</sup>. Costs related to DIM support are captured as direct project costs (DPCs) under the Project Management Cost budget. The UNDP-GEF Regional Technical Specialist will provide oversight, while a Lead Technical Specialist will be recruited using SCCF funds to assume responsibility for the day-to-day management of the project.

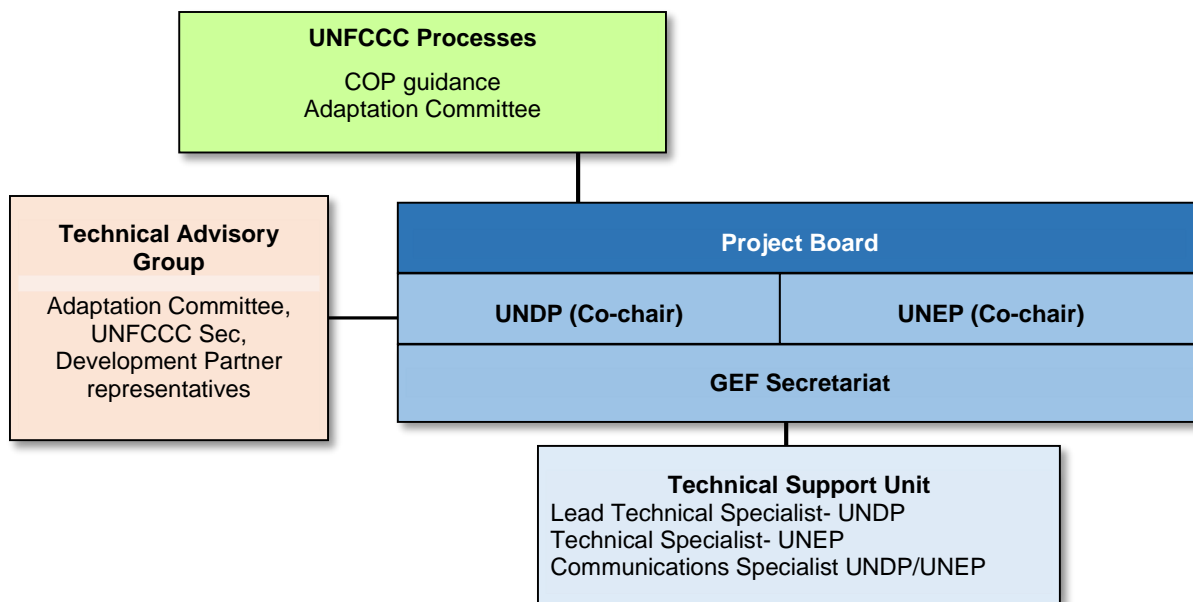
Close collaboration between UNDP and UNEP will ensure linkages to other related projects, which are either in development or commencing activities during the implementation of the SCCF-financed project. Execution of the project on UNEP's side by UNEP ROAP will ensure teamwork with the global UNDP adaptation team who are implementing and executing the project in Bangkok.

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<sup>57</sup> Promoting gender equality and empowering women

<sup>58</sup> For more information on the UNDP DIM modality, please visit:

<https://info.undp.org/global/popp/frm/pages/direct-implementation-dim-modality.aspx>



**Figure 4: Project Operational Structure**

**Project Board:** A Project Board (PB) will be the strategic decision-making body of the project. It will provide overall guidance and direction to the project, and also be responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in project strategy or implementation approach. The PB will meet once per year and consist of:

- one representative from UNDP (Co-chair);
- one representative from UNEP (Co-chair);
- one representative from the GEF-SCCF secretariat;

Other relevant stakeholders may participate in meetings as observers as needed or – upon approval by the PB – as Board members. The PB will review progress towards project implementation at regular intervals (at least annually), or as required, at the request of the Lead Technical Specialist. The PB will also approve the annual work plan prepared by the Lead Technical Specialist, with the assistance of the Project Management Unit. The annual work plan will be the instrument of authorisation through which the Lead Technical Specialist and his/her team will deliver results. Additional functions of the PB are to: i) ensure that SCCF resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; ii) arbitrate significant conflicts within the project; and iii) negotiate a solution to major problems that may arise between the project and external bodies. To ensure accountability for project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. PB members, and associated travel, are not funded through this project. As far as possible, PB meetings will be coordinated with the regularly planned Adaptation Committee meetings, other events where PB members are present.

#### **Technical Advisory Group**

The Technical Advisory Group provides technical guidance to project activities, including review of the annual work plan with recommendations, for endorsement by the PB. The

Technical Advisory Group will meet annually and is made up of representatives from the Adaptation Committee, the UNFCCC Secretariat and development partners engaged in activities to support the NAP process in countries (e.g. UNITAR, GIZ, FAO, IFAD, WHO, etc).

Other organisations involved in this initiative as collaborative partners (e.g. UNITAR, UNU) will be engaged to implement activities and deliver outputs that are under their mandate in accordance with the Stakeholder Involvement Plan. These partners will assume responsibility for the delivery of project Outputs based on agreed Terms of Reference.

**Technical Support Unit:** UNDP and UNEP will provide co-located office space for the project staff, the costs of which will be borne by the project. Technical staff hired under this project will spend 100% of their time on delivery of the project objective and outcomes. Technical staff of this project will include:

- i) Lead Technical Specialist – UNDP
- ii) Technical Specialist – UNEP; and
- iii) Communications Specialist – UNDP and UNEP

Technical expertise (e.g. economists to conduct specialize training, local consultant for roadmap development) and logistical support will also be contracted on a consultancy basis as needed.

The Terms of Reference (ToRs) for the technical staff will be included as Annex 12.

## SECTION 5: STAKEHOLDER PARTICIPATION

The implementation strategy for the project is dependent on comprehensive stakeholder participation. In addition to UNDP and UNEP, other organisations will be involved in this initiative as responsible parties and collaborative partners (e.g. IFAD, FAO, WHO). National partners will include relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry).

**Table 3. Relevant partners and stakeholders identified for engagement by project outcome/output**

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
<b>Outcome 1</b> Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.	<b>Output 1.1</b> Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified	<b>UNDP</b>	FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, national and international CSOs, regional cooperation organisations, national planning ministries, line ministries, bilateral	Revitalise national teams to lead the NAP process and identify key stakeholders.  Stocktaking of on-going and completed initiatives of relevance to the NAP process.  Conduct stakeholder consultations, including national CSOs, to identify

			agencies	<p>expectations for advancing medium- to long-term planning for adaptation.</p> <p>Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities.</p> <p>Document the results of various stakeholder consultations.</p>
<b>Output 1.2</b> Institutional coordination and financial arrangements are strengthened/ established to support NAP process	<b>UNDP</b>	FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, ECCA Programme partners (ADB, GWP, USAID, Yale University, PIFS, SPREP, SPC, USP, GIZ, CEEPA), national and international CSOs, national planning ministries, line ministries, local universities, UNU, bilateral agencies	<p>Identify key institutions relevant to the NAP process.</p> <p>Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP. Provide in-country training on identified needs.</p> <p>Strengthen leadership (especially in finance and planning) on medium- to long-term adaptation planning.</p>	
<b>Output 1.3</b> NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation.	<b>UNDP</b>	IFAD, FAO, GIZ, GWP, UNISDR, WHO, UNITAR, national planning ministries, line ministries, bilateral agencies	<p>Hold stakeholder consultations to draft and finalize country-specific NAP guidance documents.</p> <p>Formulate NAP roadmaps, including requirements for reporting (in line with LEG technical guidelines in local</p>	

				contexts).
<b>Outcome 2</b> Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.	<b>Output 2.1</b> Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, international CSOs, national planning ministries, line ministries, bilateral agencies	Undertake a survey as part of the gap/needs assessment for tools, methods, guidelines and their supplements. Promote the use of existing tools, methods, guidelines and their supplements on the basis of the needs identified. Promote the tools, methods, guidelines and their supplements in side events during COP and/or SBs.
	<b>Output 2.2</b> National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, national planning ministries, line ministries, bilateral agencies	Organise thematic/sub-regional working groups and attend 'exchange of experiences'.  Organise thematic/sub-regional workshops on the use of tools, application of methods and NAP guidelines, and relevant elements of the Adaptation Committee work programme.
	<b>Output 2.3</b> Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	<b>UNEP</b>	IFAD, FAO, WHO, GIZ, UNITAR, national planning ministries, line ministries,	Develop web-based training material for the NAP process.  Update tools, methods, guidelines and their supplements based on workshop feedback.
<b>Outcome 3.</b> Lessons and knowledge sharing through South-South and North-South cooperation to	<b>Output 3.1</b> Systems established/further developed for information and knowledge on advancing NAP processes to mainstream adaptation	<b>UNDP / UNEP</b>	IFAD, FAO, WHO, UNITAR, national planning ministries, line ministries,	Establish NAP knowledge and information systems. Establish/build upon and participate in existing communities of practice.



enhance international and regional cooperation to formulate and advance NAP process.	into medium-to long term development planning (Overseen by UNEP).		global and regional knowledge platforms, bilateral agencies	Promote thematic discussions through existing networks by identifying topics for discussion and appointing facilitators.  Synthesise information from discussions, and share this information through the established/enhanced knowledge and information systems.
	<b>Output 3.2</b> South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).	<b>UNDP / UNEP</b>	National counterparts, UNDP ALM, Chambers of Commerce and private sector, bilateral agencies	Develop materials with good practices and case studies for dissemination.  Conduct outreach activities with the private sector for funding of the NAP process.  Collect and disseminate knowledge and information from piloted activities.

## SECTION 6: MONITORING AND EVALUATION PLAN

The project will be monitored through the following M&E activities. The M&E budget is provided in the Annex 8.

Project monitoring and evaluation will be conducted in accordance with established UNDP, UNEP and GEF procedures. It will be undertaken by the project team under the oversight of the UNDP-GEF unit based in Bangkok and UNEP Division for Programme Implementation (DEPI) as well as the UNEP Evaluation Office in Nairobi, respectively. The Results Framework in Annex 5 provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis of the project's Monitoring and Evaluation (M&E) system.

**Project Start:** A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organisation structure. The Inception Workshop is important to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop will address a number of important points including:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNEP and UNDP staff vis à vis

the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.

- Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalise the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, M&E requirements. The M&E work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalise various agreements and plans decided during the meeting.

**Biannual Reporting:** Progress made shall be monitored by UNDP and UNEP. Biannual reporting – including for expenditure – will be undertaken for UNEP's reporting processes. This will include the Project Implementation Report (see below) as well as a Half-Yearly Progress Report for the period 30 June to 31 December each year.

**Annual Reporting:** The Project Implementation Report (PIR) is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines UNDP, UNEP and GEF reporting requirements and is to be completed by the project in the prescribed report format by 1<sup>st</sup> August of each year. The PIR includes, but is not limited to, reporting on the following:

- progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative);
- project outputs delivered per project outcome (annual);
- lessons learned/good practices;
- risk and adaptive management;
- AWP and other expenditure reports; and
- portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

**Mid-term of project cycle:** The project will undergo an independent Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) at the mid-point of project implementation, as deemed most appropriate. The purpose of the Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) is to provide an independent assessment of project performance at mid-term, to analyse whether the project is on track, what problems and challenges the project is encountering, and which corrective actions are required so that the project can achieve its intended outcomes by project completion in the most efficient and sustainable way. The Project Board will participate in the MTR or MTE and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UNEP DEPI and UNDP GEF Unit to monitor whether the agreed recommendations are being implemented. A single MTR may be managed jointly by the UNEP and UNDP Task Managers, otherwise two separate MTRs may also be carried out. An MTE would be

managed by the Evaluation Office of UNEP (EOU). The EOU will determine whether an MTE is required or an MTR is sufficient after consulting with the UNEP and UNDP Task Managers.

The MTR/MTE will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organisation, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for the MTR will be prepared by the UNEP and UNDP, or by UNEP EO in the case of an MTE. The management response and the evaluation will be uploaded to UNEP and UNDP corporate systems

The relevant GEF Focal Area Tracking Tools will also be completed during the mid-term evaluation cycle.

**End of Project Cycle:** An independent Terminal Evaluation (TE), as a desk review, will take place three months prior to the final PB meeting, and will be undertaken in accordance with UNDP, UNEP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development the achievement of global environmental benefits/goals as well as the achievement of the adaptation alternative proposed by this project document.

The UNEP and UNDP Evaluation Offices will be responsible for the TE and liaise with the UNEP and UNDP Task Managers throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes:

- i) to provide evidence of results to meet accountability requirements; and
- ii) to promote learning, feedback, and knowledge sharing through results and lessons learned

While a TE should review use of project funds against budget, it would be the role of a financial audit to assess probity (i.e. correctness, integrity etc.) of expenditure and transactions. The TE report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office of UNEP (EOU) in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six point rating scheme. The final determination of project ratings will be made jointly by the EOU and the UNEP and UNDP Evaluation Office when the report is finalized. The evaluation report will be publicly disclosed and will be followed by a recommendation compliance process. The direct costs of reviews and evaluations will be charged against the project evaluation budget.

The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarise the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Learning and knowledge sharing:** Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:** Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

## SECTION 7: PROJECT FINANCING AND BUDGET

### 7.1. Overall project budget

To achieve the objective and outcomes presented above, SCCF resources of US\$4,500,000 in total – US\$2,250,000 for administration by UNEP and US\$2,250,000 for administration by UNDP – are requested for the period of 2015-2017, excluding the fees for the two Implementing Agencies. The breakdown of the budget across the outcomes is presented below (for greater detail, see the full project budget in Annex 1, as well as the budget components for which UNEP is responsible in Annex 2):

SCCF funding	UNDP	UNEP	Total
<b>Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP)</b>			
<b>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets</b>	1,388,889		1,388,889
<b>Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).</b>		1,896,992	1,896,992
<b>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non- LDC developing countries.</b>			
<b>Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).</b>	674,444	206,342	880,786
<b>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</b>			
<b>Project management costs</b>	186,667	146,666	333,333
<b>Total</b>	<b>2,250,000</b>	<b>2,250,000</b>	<b>4,500,000</b>

## 7.2. Project co-financing

Detailed descriptions of the activities conducted by the co-financing initiatives have been described in Section 2.6 above. Table 4 below provides an outline of the initiatives and the co-financing amounts provided.

**Table 4. Project co-financing initiatives**

Co-financing Initiative	Type of Co-financing	Amount (\$)
UNDP - Low-Emission Capacity-Building (LECB) Programme	Grant	15,000,000
UNITAR – One UN Climate Change Learning Partnership (UN CC-Learn)	Grant	3,000,000
UNEP – Global Adaptation Network, Asia-Pacific Adaptation Network, REGATTA, WARN-CC	Grant	800,000
		<b>18,800,000</b>

## 7.3 Project cost-effectiveness

Cost-effectiveness is exercised throughout the project. Implementation of the SCCF-financed project will build on the structure (including knowledge platforms), progress and lessons learned from the ongoing LDCF-funded *Assisting LDCs with country-driven processes to advance National Adaptation Plans* and the *Building capacity for LDCs to implement effectively in intergovernmental climate change processes* projects.

Lessons learned, experiences to date and good practices related to climate change adaptation planning will be captured and synthesised. These lessons will then be disseminated through knowledge and information systems established on existing networks, and through online training materials. This is a cost-effective way of informing a broad range of stakeholders, including government staff, policy-makers, line ministries and all role players responsible for advancing climate change adaptation in development planning, processes and strategies within all relevant sectors and at all relevant levels.

The training workshops of Outcome 2 adopt a cost-effective approach though: i) hosting sub-regional workshops for countries with similar adaptation priorities; ii) targeting key line ministries to attend the workshops and act as champions for the NAP process; and iii) publishing workshop training material online to promote further learning for participants and other stakeholders in non-LDCs.

For the technical training of Output 1.2, the economic analysis-related in-country training, web-based courses, and university/learning institution courses expected from this SCCF, will benefit from the materials already-generated by the ECCA programme – resulting in cost-savings for these activities.

## ANNEXURES

## Annex 1: Full project budget by project components and UNEP budget lines

<b>Project title:</b>		Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)											
<b>Project number:</b>		UNEP:01247 UNDP:5347											
<b>Project executing partner:</b>		UNEP, UNDP											
<b>Project implementation period:</b>		<b>Expenditure by project outcome</b>							<b>Expenditure by calendar year</b>				
<b>From:</b>	January 2015	<b>Outcome 1</b>	<b>Outcome 2</b>	<b>Outcome 3</b>	<b>PM</b>	<b>M&amp;E</b>	<b>Total</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>		
<b>To:</b>	December 2017												
<b>UNEP Budget Line</b>													
<b>10</b>	<b>PERSONNEL COMPONENT</b>												
	1100	<b>Project personnel</b>											
		1101	Technical staff	405,000	301,500	349,500	156,000	0	1,212,000	404,000	404,000	404,000	1,212,000
		1102	Translator	0	84,000	0	0	0	84,000	0	0	84,000	84,000
		<b>1199</b>	<b>Sub-total</b>	<b>405,000</b>	<b>385,500</b>	<b>349,500</b>	<b>156,000</b>	<b>0</b>	<b>1,296,000</b>	<b>404,000</b>	<b>404,000</b>	<b>488,000</b>	<b>1,296,000</b>
	1200	<b>Consultants</b>											
		1201	International consultants	380,000	147,750	339,500	0	0	867,250	306,500	285,750	275,000	867,250
		1202	National consultants	150,000	0	30,000	90,000		270,00	80,000	95,000	95,000	270,000
		<b>1299</b>	<b>Sub-total</b>	<b>530,000</b>	<b>147,750</b>	<b>369,500</b>	<b>90,000</b>	<b>0</b>	<b>1,137,250</b>	<b>386,500</b>	<b>380,750</b>	<b>370,000</b>	<b>1,137,250</b>
	1300	<b>Administrative Support</b>											
		1301	UNDP support services				21,666		21,666	7,222	7,222	7,222	21,666
		<b>1399</b>	<b>Sub-total</b>				<b>21,666</b>		<b>21,666</b>	<b>7,222</b>	<b>7,222</b>	<b>7,222</b>	<b>21,666</b>
	1600	<b>Travel on official business</b>											
		1601	Travel on official business	135,000	121,342	87,342	0	0	343,684	81,150	132,767	129,767	343,684
		<b>1699</b>	<b>Sub-total</b>	<b>0</b>	<b>121,342</b>	<b>87,342</b>	<b>0</b>	<b>0</b>	<b>343,684</b>	<b>81,150</b>	<b>132,767</b>	<b>129,767</b>	<b>343,684</b>
<b>999</b>		<b>Component total</b>		<b>935,000</b>	<b>654,592</b>	<b>806,342</b>	<b>267,666</b>	<b>0</b>	<b>2,798,600</b>	<b>878,873</b>	<b>924,739</b>	<b>994,989</b>	<b>2,798,600</b>
	<b>SUB CONTRACT COMPONENT</b>												
	<b>2300</b>	<b>Sub contracts (for commercial purposes)</b>											

		2301	Sub contracts for course material and economics programme	300,000	0	0	0	0	300,00	100,000	100,000	100,000	300,000
		2399	Sub-total	300,000	0	0	0	0	300,000	100,000	100,00	100,000	300,000
			Component total	300,000	0	0	0	0	300,000	100,000	100,00	100,000	300,000
0	TRAINING COMPONENT												
	3200		Group training										
		3201	Training Workshops	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
		3299	Sub-total	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
	3300		Meetings/Conferences										
		3301	Meetings	0	20,000	10,000	0	0	30,000	10,000	20,000	0	30,000
		3399	Sub-total	0	20,000	10,000	0	0	30,000	10,000	20,000	0	30,000
999			Component total	0	1,185,000	10,000	0	0	1,195,000	10,000	602,500	582,500	1,195,000
0	EQUIPMENT AND PREMISES COMPONENT												
	4200		Non-expendable equipment										
		4201	Office rental and equipment	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
		4299	Sub-total	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
999			Component total	0	0	0	65,667	0	65,667	21,889	21,889	21,889	65,667
0	MISCELLANEOUS COMPONENT												
	5300		Sundry										
		5301	Communications	0	15,000	5,000	0	0	20,000	0	12,000	8,000	20,000
		5302	Inception workshop and report	0	0	0	0	8,000	8,000	8,000	0	0	8,000
		5303	Audio visual and printing	18,889	2,400	39,444	0	0	60,733	15,444	22,200	23,089	60,733
			Sub-total	0	17,400	44,444	0	8,000	88,733	23,444	34,200	31,089	88,733
	5500		Evaluation										
		5502	Mid-term evaluation	0	0	0	0	30,000	30,000	0	30,000	0	30,000
		5582	Final evaluation	0	0	0	0	22,000	22,000	0	0	22,000	22,000
		5599	Sub-total	0	0	0	0	52,000	52,000	0	30,000	22,000	52,000
999			Component total	0	17,400	44,444	0	60,000	140,733	23,444	64,200	53,089	140,733
9	GRAND TOTAL			1,253,889	1,856,992	860,786	333,333	60,000	4,500,000	1,034,206	1,713,328	1,752,467	4,500,000

Item	Description of cost item
A	Technical specialists for both UNEP and UNDP Outcomes
B	\$2,800 budgeted per language for an estimated 5 toolkits per language.
C	Consultants to develop guidelines, manuals, information material, direct country support, facilitate training events, set-up and maintain website, develop a web-platform, and communications consultants (\$300 per day @ 100 days per year split between UNEP and UNDP)
D	Ongoing support to develop roadmap, local consultant, \$10K * 5 countries and local consultant for ongoing maintenance and population of public-private platform
E	UNDP Direct project costs related to direct implementation (DIM)
F	Cost of travel for UNEP technical advisor and international consultants for sub-regional workshops and meetings to facilitate knowledge sharing; travel for in-country consultations related to public-private platform; and travel for Comms, to collect and document case studies
G	Develop course materials and establish economics programme in local universities and/or UNU; estimate cost per year \$100,000
H	Country missions/workshops (Output 1.1) to conduct stocktaking and in-country training (intl consultants, local consultants, including travel). Estimated at \$40K/country * 15 countries; and technical training workshops (Output 2.3) 10 workshops with 11 participating countries (each with three delegates). Per workshop: 33 flights@ \$1700; 33 delegates DSA @\$200 per day for four days and venue hire, printing and audio visual equipment @ \$34 000
I	Meetings to facilitate knowledge sharing through working groups and communities of practice
J	Includes IT equipment, office rental and maintenance costs
K	Printing of promotional material and development of audio-visual material
L	A mid-term and final evaluation will be conducted and paid for by UNEP



## Annex 2: UNEP project budget by project components and UNEP budget lines

<b>Project title:</b>		Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)										
<b>Project number:</b>		UNEP:01247 UNDP:5347										
<b>Project executing partner:</b>		UNEP, UNDP										
<b>Project implementation period:</b>		<b>Expenditure by project outcome</b>							<b>Expenditure by calendar year</b>			
<b>From:</b>	January 2015	<b>Outcome 1</b>	<b>Outcome 2</b>	<b>Outcome 3</b>	<b>PM</b>	<b>M&amp;E</b>	<b>Total</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Total</b>	
<b>To:</b>	December 2017											
<b>UNEP Budget Line</b>												
<b>10</b>	<b>PERSONNEL COMPONENT</b>											
	1100	<b>Project personnel</b>										
	1101	Technical staff (P3/P4) (3 years @ \$180 000 per year)	0	301,500	112,500	126,000	0	540,000	180,000	180,000	180,000	540,000
	1102	Translator	0	84,000	0	0	0	84,000	0	0	84,000	84,000
	1199	<b>Sub-total</b>	<b>0</b>	<b>385,500</b>	<b>112,500</b>	<b>126,000</b>	<b>0</b>	<b>624,000</b>	<b>180,000</b>	<b>180,000</b>	<b>264,000</b>	<b>624,000</b>
	1200	<b>Consultants</b>										
	1201	International consultants (325 days @ \$450/day and 100 days @ \$300/day)	0	147,750	43,500	0	0	191,250	64,500	48,750	78,000	191,250
	1299	<b>Sub-total</b>	<b>0</b>	<b>147,750</b>	<b>43,500</b>	<b>0</b>	<b>0</b>	<b>191,250</b>	<b>64,500</b>	<b>48,750</b>	<b>78,000</b>	<b>191,250</b>
	1600	<b>Travel on official business</b>										
	1601	IC and Project Technical Staff flights	0	121,342	15,342	0	0	136,684	13,150	61,767	61,767	136,684
	1699	<b>Sub-total</b>	<b>0</b>	<b>121,342</b>	<b>15,342</b>	<b>0</b>	<b>0</b>	<b>136,684</b>	<b>13,150</b>	<b>61,767</b>	<b>61,767</b>	<b>136,684</b>
<b>1999</b>		<b>Component total</b>	<b>0</b>	<b>654,592</b>	<b>171,342</b>	<b>126,000</b>	<b>0</b>	<b>951,934</b>	<b>257,651</b>	<b>290,517</b>	<b>403,767</b>	<b>951,934</b>
<b>30</b>	<b>TRAINING COMPONENT</b>											
	3200	<b>Group training</b>										
	3201	Training Workshops	0	1,165,000	0	0	0	1,165,000	0	582,500	582,500	1,165,000
	3299	<b>Sub-total</b>	<b>0</b>	<b>1,165,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,165,000</b>	<b>0</b>	<b>582,500</b>	<b>582,500</b>	<b>1,165,000</b>
	3300	<b>Meetings/Conferences</b>										
	3301	Meetings	0	20,000	10,000	0	0	30,000	10000	20000	0	30000
	3399	<b>Sub-total</b>	<b>0</b>	<b>20,000</b>	<b>10,000</b>	<b>0</b>	<b>0</b>	<b>30,000</b>	<b>10000</b>	<b>20000</b>	<b>0</b>	<b>30000</b>

<b>3999</b>		<b>Component total</b>		<b>0</b>	<b>1,185,000</b>	<b>10,000</b>	<b>0</b>	<b>0</b>	<b>1,195,000</b>	<b>10,000</b>	<b>602,500</b>	<b>582,500</b>	<b>1,195,000</b>
<b>40</b>	<b>EQUIPMENT AND PREMISES COMPONENT</b>												
	4200	<b>Non-expendable equipment</b>											
	4201	Office rental and equipment	0	0	0	20,665	0	20,665	6,888	6,888	6,889	20,665	
	<b>4299</b>	<b>Sub-total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20,665</b>	<b>0</b>	<b>20,665</b>	<b>6,888</b>	<b>6,888</b>	<b>6,889</b>	<b>20,665</b>	
<b>4999</b>		<b>Component total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>20,665</b>	<b>0</b>	<b>20,665</b>	<b>6,888</b>	<b>6,888</b>	<b>6,889</b>	<b>20,665</b>	
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>												
	5300	<b>Sundry</b>											
	5301	Communications	0	15,000	5,000	0	0	20,000	0	12,000	8,000	20,000	
	5302	Inception workshop and report	0	0	0	0	8,000	8,000	8,000	0	0	8,000	
	5303	Printing	0	2,400	0	0	0	2,400	0	1,200	1,200	2,400	
		<b>Sub-total</b>	<b>0</b>	<b>17,400</b>	<b>5,000</b>	<b>0</b>	<b>8,000</b>	<b>30,400</b>	<b>8,000</b>	<b>13,200</b>	<b>9,200</b>	<b>30,400</b>	
	5500	<b>Evaluation</b>											
	5502	Mid-term evaluation	0	0	0	0	30,000	30,000	0	30,000	0	30,000	
	5582	Final evaluation	0	0	0	0	22,000	22,000	0	0	22,000	22,000	
	<b>5599</b>	<b>Sub-total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>52,000</b>	<b>52,000</b>	<b>0</b>	<b>30,000</b>	<b>22,000</b>	<b>52,000</b>	
<b>5999</b>		<b>Component total</b>	<b>0</b>	<b>17,400</b>	<b>5,000</b>	<b>0</b>	<b>60,000</b>	<b>82,400</b>	<b>8,000</b>	<b>43,200</b>	<b>31,200</b>	<b>82,400</b>	
<b>99</b>	<b>GRAND TOTAL</b>		<b>0</b>	<b>1,868,992</b>	<b>174,342</b>	<b>146,666</b>	<b>60,000</b>	<b>2,250,000</b>	<b>282,539</b>	<b>943,105</b>	<b>1,024,356</b>	<b>2,250,000</b>	

Item	Description of cost item
<b>A</b>	UNEP technical staff (P3/P4) will oversee, coordinate and provide technical input into the UNEP activities in the project. The technical staff will be paid \$180 000 per annum.
<b>B</b>	\$2,800 budgeted per language for an estimated 5 toolkits per language.
<b>C</b>	Consultants to develop guidelines, manuals, information material, direct country support, facilitate training events, set-up and maintain website, develop a web platform etc. as well as communications consultant @ \$300 per day for 50 days per year.
<b>D</b>	Cost of travel (flights and DSA) for UNEP technical staff from executing agency and international consultants to sub-regional workshops, promotional events and meetings to facilitate knowledge sharing. (Activities 2.1.3, 2.2.1, 2.2.2 and 3.1.2)
<b>E</b>	10 workshops with 11 participating countries (each with three delegates). Per workshop: 33 flights @ \$1700; 33 delegates DSA @ \$200 per day for four days, and venue hire, printing and audio-visual equipment @ \$34 000. (Activity 2.2.2)
<b>F</b>	Meetings to facilitate knowledge sharing through working groups and communities of practice. (Activities 2.2.1 and 3.1.2)
<b>G</b>	Printing of promotional material for Activity 2.1.3
<b>H</b>	A mid-term and final evaluation will be conducted and paid for by UNEP



## Annex 3: Co-financing by source and UNEP budget lines

<b>Project title:</b>			Assisting non-LDC developing countries with country driven processes to advance National Adaptation Plans (NAPs)						
<b>Project number:</b>			UNEP:01247 UNDP:5347						
<b>Project executing partner:</b>			UNEP, UNDP						
<b>Project implementation period:</b>			<b>Expenditure by co-financing initiative</b>						
<b>From</b>	January 2015	<b>UNDP-LECB</b>	<b>UNITAR – CC:Learn</b>	<b>GAN</b>	<b>WARN-CC</b>	<b>REGATTA</b>	<b>APAN</b>	<b>UNDP-ALM</b>	<b>TOTAL</b>
<b>To:</b>	December 2017								
<b>UNEP Budget Line</b>									
<b>10</b>		<b>PERSONNEL COMPONENT</b>							
	1100	<b>Project personnel</b>							
		1101	Technical staff (P3/P4) (3 years @\$180 000 per year)	1,338,630	50,000		10,000		1,398,630
		<b>1199</b>	<b>Sub-total</b>	<b>1,338,630</b>	<b>50,000</b>		<b>10,000</b>		<b>1,398,630</b>
	1200	<b>Consultants</b>							
		1201	International consultants	1,035,000	50,000		25,000		1,110,000
		<b>1299</b>	<b>Sub-total</b>	<b>1,035,000</b>	<b>50,000</b>		<b>25,000</b>		<b>1,110,000</b>
	1600								
		1601	Travel on official business				20,000		20,000
		<b>1699</b>	<b>Sub-total</b>				<b>20,000</b>		<b>20,000</b>
<b>1999</b>		<b>Component total</b>		<b>2,373,630</b>	<b>100,000</b>		<b>35,000</b>	<b>20,000</b>	<b>2,508,630</b>
<b>30</b>		<b>TRAINING COMPONENT</b>							
	<b>3200</b>	<b>Group training</b>							
		3201	Training Workshops	616,370	90,000	25,000	<b>40,000</b>	<b>20,000</b>	<b>791,370</b>
		<b>3299</b>	<b>Sub-total</b>	<b>616,370</b>	<b>90,000</b>	<b>25,000</b>	<b>40,000</b>	<b>20,000</b>	<b>791,370</b>
	3300	<b>Meetings/Conferences</b>							
		3301	Meetings	0	360,000	25,000	25,000	60,000	470,000
		<b>3399</b>	<b>Sub-total</b>	<b>0</b>	<b>360,000</b>	<b>25,000</b>	<b>25,000</b>	<b>60,000</b>	<b>470,000</b>
<b>3999</b>		<b>Component total</b>		<b>616,370</b>	<b>450,000</b>	<b>25,000</b>	<b>65,000</b>	<b>80,000</b>	<b>1,261,370</b>
<b>50</b>		<b>MISCELLANEOUS COMPONENT</b>							
	5300	<b>Sundry</b>							
		5303	Printing	10,000	0	0			10,000
			<b>Sub-total</b>	<b>10,000</b>	<b>0</b>	<b>0</b>			<b>10,000</b>
<b>5999</b>		<b>Component total</b>		<b>10,000</b>	<b>0</b>	<b>0</b>			<b>10,000</b>
<b>99</b>	<b>GRAND TOTAL</b>			<b>3,000,000</b>	<b>550,000</b>	<b>50,000</b>	<b>100,000</b>	<b>100,000</b>	<b>3,800,000</b>

#### **Annex 4: Incremental cost analysis**

SCCF projects do not follow the incremental cost reasoning, but rather apply additional cost reasoning. See Section 3.7 (Additional Cost Reasoning) in the main document for details.

## Annex 5: Results Framework

UNDP and UNEP will assume responsibility for monitoring their portions of the project separately following their respective institutional M&E guidance, while in line with donor requirements.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs.			Number of countries with institutional arrangements for the NAP	<p>The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among non-LDCs are varied.</p> <p>Most non-LDCs have developed short-term adaptation plans. Many non-LDCs are in the process of developing medium- to long-term adaptation plans. Gaps in technical capacity and access to knowledge and information hinder the undertaking of</p>	N/A	At least 20 countries have been supported to develop institutional arrangements for the NAP	UNDP Capacity Assessment Scorecard	Effective coordination at national level

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
				<p>NAP processes.</p> <p>There are weak institutional planning processes as a result adaptation in most non-LDCs is not integrated into national development planning and sectoral planning processes.</p>				
<b>Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP).</b>	<b>Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	<b>Outcome level indicator<sup>59</sup></b>	Number of non-LDCs receiving tailored support to advance their NAP <sup>60</sup>	Non-LDCs are at various stages in the NAP Process and require different support to further advance. Outcome 1 is structured in a way that technical support can be tailored and delivered separately or combined.	At least 8 countries have received to support towards advance their NAP process	20 countries receive tailored support to advance their NAP process	In-country workshops, training materials and training materials disseminated	Coordination with development partners on NAP-related support activities

<sup>59</sup> UNDP monitors projects at the outcome, not output, level.

<sup>60</sup> This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 1.1 Information and processes that are of relevance to the NAP process in the country are taken stock and key gaps to integrate climate change into medium to long-term planning processes are identified.	N/A	N/A	N/A	N/A		
		Output 1.2 Institutional coordination and financial arrangements are strengthened/established to support NAP process	N/A	N/A	N/A	N/A		
		Output 1.3 NAP roadmaps are developed to advance the NAP process, including elements for monitoring the progress of their implementation	N/A	N/A	N/A	N/A		
<b>Component 2: Training on relevant tools and methods to support effective climate planning (Overseen UNEP).</b>	<b>Outcome 2: Technical capacity to support key steps of the National Adaptation Plan process is developed and relevant tools and methods are accessible to all non-LDC developing countries.</b>	<b>Outcome level indicator</b>	Number of non-LDCs with increased technical capacity to support key steps in NAP process.	Capacity of relevant government technicians in non-LDC to apply tools, methods and guidelines to undertake key steps in the NAP process is low.	At mid-term, government technicians from at least 40 non-LDCs have increased technical capacity to support key steps in NAP process.	By the end of the project, government technicians from at least 105 non-LDCs have increased technical capacity to support key steps in NAP process.	Surveys (tests <sup>61</sup> , questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.	Coordination with development partners on NAP-related support activities

<sup>61</sup> The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.



Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.1 Tools, methods and guidelines to advance the NAP process are developed and/or adapted for non-LDCs in partnership with other agencies and organisations.	Number of training packages – including tools, methods and guidelines – developed for non-LDCs to advance their NAP process.	Existing tools, methods and guidelines are not broadly applied by non-LDCs because: i) they are developed for LDCs and are not fully applicable to non-LDCs; or ii) the proliferation of the tools, methods and guidelines are confusing for non-LDCs.	N/A	By the end of the project, one training package - containing tools, methods or guidelines - developed for non-LDCs to advance their NAP process.	Review of the training documents produced and distributed to the relevant government staff.	
		Output 2.2 National technicians trained through sub-regional or thematic workshops in the use of tools and methods to advance the NAP process including budgeting for medium- to long-term adaptation.	Number of national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (disaggregated by gender) <sup>62</sup>	No national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process by the project	At mid-term, at least 100 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	By the end of the project, at least 300 national technicians trained through thematic/subregional workshops in the use of tools and methods to advance the NAP process (at least 30% women)	Workshop reports, participant lists, surveys of participants before and after the workshops.	

<sup>62</sup> This indicator is aligned with AMAT indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures.

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	Number of web-based training materials for the application of tools, methods and guidelines for NAP processes developed and accessible online.	Limited training material available online on the application of tools, methods and guidelines for NAP processes in non-LDCs, available in languages other than English and French.	At mid-term, at least 2 training materials developed and published online in at least 3 official languages of the non-LDCs.	By the end of the project, at least 5 training materials developed and published online in at least 5 official languages of the non-LDCs.	Number of translated versions of training materials. Review of the training documents accessible online in at least 6 languages. Statistics of training materials accessed.	
<b>Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).</b>	<b>Outcome 3: Lessons and knowledge sharing through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.</b>	<b>Outcome level indicator</b>	Effective uptake of lessons and best practices shared across North-South and South-South countries	South-South and North-South cooperation is limited, resulting in low levels of sharing of lessons learned and knowledge between non-LDCs.	At mid-term, at least 40% of participants in the knowledge-sharing platforms report interest and/or uptake of lessons and best practices from North and South countries	By the end of the project at least 70% participants in the knowledge-sharing systems report interest and/or uptake of lessons and best practices from North and South countries	Surveys conducted at the outset of the project and at regular intervals – including at mid-term and end of the project – with the participants of the knowledge-sharing platforms.	Coordination with development partners on NAP-related support activities  Low predictability of finance for advancing the NAP process beyond the project duration
		Output 3.1 Systems established/further developed for information and knowledge on advancing NAP processes to mainstream	Number of knowledge and information systems established on NAP for non-LDCs through existing or	Current regional platforms on adaptation exist (e.g. REGATTA, WARN CC, AAKNet,	At mid-term, at least 1 knowledge and information system (e.g. LISTSERVE, quarterly newspaper, forums to promote	By the end of the project, at least 3 knowledge and information systems (e.g. LISTSERVE, quarterly	Review of the knowledge and information systems available online.	

Components	Outcomes	Outputs	Indicator	Baseline	Mid-term target	End-of-project target	Source of verification	Risks/ Assumptions
		adaptation into medium-to long term development planning (Overseen by UNEP).	developed platforms.	APAN, Clima South, Clima East) but there is limited knowledge and information systems on NAP processes available on these platforms.	thematic discussions) established through at least 1 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East)	newspaper, forums to promote thematic discussions) established through at least 6 existing platforms (e.g. REGATTA, WARN CC, AAKNet, Clima South and Clima East).	LISTSERV-distribution lists.	
		Output 3.2 South-South and North-South transfer of technical and process-oriented information on experiences and lessons relevant to medium to long-term national, sectoral and local plans and planning and budgeting processes are captured, synthesized and made available to all non-LDC developing countries (Overseen by UNDP).	N/A	N/A	N/A	N/A	N/A	

**Annex 6: Workplan and timetable<sup>63</sup>**

Outcome	Output	Activity	Annual breakdown		
			Year 1	Year 2	Year 3
Outcome 1	Output 1.1	1.1.1 Revitalize national teams (e.g. working groups created for the national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders			
		1.1.2 Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process.			
		1.1.3 Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels.			
		1.1.4 Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalized on and weaknesses that need to be strengthened).			
		1.1.5 Document the results of various stakeholder consultations so that countries can build and act upon priorities.			
	Output 1.2	1.2.1 Identify key national and sub-national institutions relevant to the NAP process.			
		1.2.2 Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP.			
		1.2.3 Provide in-country training on identified needs, including: <ul style="list-style-type: none"> <li>• Applying the LEG guidelines on NAPs in local contexts</li> <li>• Conducting project and sectoral level</li> </ul>			

<sup>63</sup> UNDP is the lead institution for Outcome 1 and Output 3.2. The workplan and timetable for the related activities are included in the corresponding UNDP Project Document.

		<p>cost-benefit analysis to identify economically-efficient and sustainable adaptation options</p> <ul style="list-style-type: none"> <li>• Innovative financial schemes (issuance of green bonds for adaptation) for municipalities</li> <li>• Designing/developing bankable projects</li> </ul>			
	Output 1.3	<b>1.3.1</b> Facilitate the conduct of stakeholder consultations to draft and finalize country-specific NAP guidance documents			
		<b>1.3.2.</b> Support the formulation of the country-specific NAP guidance documents, including requirements for reporting (in line with LEG technical guidelines in local contexts).			
Outcome 2	Output 2.1	<b>2.1.1</b> Stocktaking and gap/needs assessment of tools, methods, guidelines, and their supplements to support non-LDCs to advance the NAPs process.			
		<b>2.1.2</b> Develop new or adapt existing tools, methods and supplements where necessary following the findings from the needs assessment for non-LDCs to follow NAP guidelines.			
		<b>2.1.3</b> Promote the use of new and existing tools, methods and guidelines through intergovernmental processes (e.g. side events at SBIs/SBSTAs) and the knowledge and information systems established through Output 3.1			
		<b>2.1.4</b> Develop a training package for non-LDCs – including training material – for supporting non-LDCs to advance their NAP process using new and existing tools and lessons learned from NAP GSP for LDCs and implementation of one to one support from Component 1.			
	Output 2.2	<b>2.2.1</b> Establish thematic/sub-regional ‘working groups’ across non-LDCs to attend exchange of experiences to promote South-South cooperation.			
		<b>2.2.2</b> Organise at least 10 sub-regional or thematic workshops on the application and use of tools, application of methods, and NAP guidelines and relevant elements of the Adaptation Committee work programme using the training material developed in Output			

		2.1.4.			
		<b>2.2.3</b> Review the feedback from thematic workshops' participants to develop recommendations for future training and feed them back to the training package.			
	Output 2.3	<b>2.3.1</b> Develop web-based training material <sup>64</sup> from the training material developed in Output 2.1.4 to support the application of tools, methods and guidelines for the NAP process.			
		<b>2.3.2</b> Update tools, methods and guidelines, and training material based on review of thematic workshops.			
Outcome 3	Output 3.1	<b>3.1.1</b> Establish knowledge and information systems (including quarterly newsletter and LISTSERVE, and promotion of thematic discussions) through existing platforms where possible (e.g. REGATTA, WARN CC, AAKNet, APAN, Clima South, Clima East) or developing platforms to communicate on NAPs and link users to available tools and resources.			
		<b>3.1.2</b> Establish or build upon existing communities of practice along sectoral and/or sub-regional themes and rosters of experts from participant countries and mobilise them upon demand to share experience and review NAP related products.			
	Output 3.2	<b>3.2.1</b> Collect and disseminate 'case studies', best practices and lessons learned of NAPs preparation, implementation, coordination, monitoring.			
		<b>3.2.2</b> Pilot platform for public-private partnership in 3-4 countries, share lessons learned			

<sup>64</sup> Indicative languages include: English, Spanish, French, Russian, Arabic and Portuguese.

**Annex 7: Key deliverables and benchmarks**

For further details see Annex 5 (Results Framework) and Annex 8 (Costed M&E plan)

**Annex 8: Costed M&E plan**

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>Project Manager</li> <li>Project team</li> </ul>	8,000	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> <li>Project Manager will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members.</li> </ul>	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>Oversight by Project Manager</li> <li>Project team</li> </ul>	To be determined as part of Annual Work Plan prep.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>Project manager and team</li> <li>UNDP and UNEP</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>Project manager and team</li> </ul>	None	Quarterly
Mid-term evaluation	<ul style="list-style-type: none"> <li>Project manager and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	30,000 <sup>65</sup>	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> <li>Project manager and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	22,000 <sup>66</sup>	At least three months before the end of project implementation
<b>TOTAL Indicative Cost</b>		60,000	

<sup>65</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

<sup>66</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.



**Annex 9: Summary of reporting requirements and responsibilities**

Reporting requirements	Due date	Responsibility
Inception Workshop Report	Within first two months of project start up.	<ul style="list-style-type: none"> <li>Senior Technical Specialist (STS)</li> <li>Technical Specialist (TS)</li> </ul>
Expenditure report accompanied by explanatory notes	Ongoing, as required	<ul style="list-style-type: none"> <li>Technical Support Unit (TSU)</li> <li>International Consultants (ICs)</li> </ul>
Supervision Plan	Before the end of the proposed LDCF project's inception phase.	<ul style="list-style-type: none"> <li>Project Board (PB)</li> </ul>
Progress reporting	Quarterly	<ul style="list-style-type: none"> <li>LTS</li> <li>PB</li> </ul>
Audited report for expenditures for year ending 31 December	Yearly on or before 30 June.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Inventory of non-expendable equipment	Yearly on or before 31 January.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
PIR	Yearly	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> </ul>
Minutes of PB meetings	Quarterly (or as relevant).	<ul style="list-style-type: none"> <li>Project Assistant</li> </ul>
Completion report	Within six months of project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> </ul>
Final inventory of non-expendable equipment		<ul style="list-style-type: none"> <li>TSU</li> </ul>
Equipment transfer letter		<ul style="list-style-type: none"> <li>TSU</li> </ul>
Final expenditure statement	Within three months of project completion date.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Final audited report for expenditures of project	Within six months prior to project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>External consultant</li> </ul>
Independent terminal evaluation report	Within three months prior to project completion date.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>External consultant</li> </ul>
Measurement of means of verification of project results	Start, mid and end of project (during evaluation cycle) and annually when required.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>ICs</li> </ul>
Measurement of means of verification for project progress on output and implementation	Annually prior to project implementation review and to the definition of annual work plans.	<ul style="list-style-type: none"> <li>TSU</li> <li>PB</li> <li>ICs</li> </ul>
Project closure workshop and report	On completion of the terminal evaluation.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
Consultants	During baseline assessment in inception phase, at the mid-point of project implementation and at least three months before the end of project implementation.	<ul style="list-style-type: none"> <li>TSU</li> </ul>
PB meetings for overall project monitoring and evaluation	Annually.	<ul style="list-style-type: none"> <li>PB</li> </ul>

## **Annex 10: Standard Terminal Evaluation TOR**

Below are the standard Terminal Evaluation TORs of UNEP. They will need to be adjusted to the requirements of the project.

### **Objective and Scope of the Evaluation**

The objective of the terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results.

### **Methods**

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP and the UNEP Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP Task Manager, key representatives of the executing agencies and the UNEP. Any comments or responses to the draft report will be sent to UNEP for collation and the consultant will be advised of any necessary or suggested revisions.

### **Key Evaluation principles**

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "***what happened?***" and "***what would have happened anyway?***". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgments about project performance

**Annex 11: Decision-making flowchart and organizational chart**

See Section 4 (Institutional Framework and Implementation Arrangements) and Figure 2

## **Annex 12: Terms of Reference for Key Project Entities and Project Staff**

### **Project Board (PB)**

UNDP and UNEP will be responsible for establishing the project board. The PB will consist of the following:

- One representative from UNDP (Co-chair);
- One representative from UNEP (Co-chair);
- One representative from the GEF-SCCF secretariat;
- One representative from the UNFCCC Secretariat;
- One representative from the Adaptation Committee; and
- One representative from development partners, e.g. of any of WHO, IFAD, UNITAR or FAO who are also in the process of establishing relevant support mechanisms to help LDCs with advancing their NAPs.
- Participation in the Project Board will agreed by the Co-chairs.

The PB will be co-chaired by the representatives from UNEP and UNDP. The Lead Technical Specialist will be secretary of the Board.

### ***Responsibilities***

- Provide major guidance and direction to the project, ensuring it remains within any specified constraints of time, scope and budget;
- Provide advice and guidance on efficient and timely execution of the project, when required;
- Establish policies when required to define the functions, responsibilities, and delegation of powers for the implementing agency and the Project Management Unit;
- Ensure that project's policy recommendations are integrated within the policies of respective sectors each member represents;
- Address project issues as raised by the Project Managers including approval of major project revisions;
- Provide guidance and agree on possible countermeasures/management actions to address conflicts and risks during project implementation;
- Ensure that SCCF resources are committed exclusively to activities that relate to achievement of the project objective;
- Resolve significant conflicts within the project, and negotiate solutions to major problems that may arise between the project and external bodies;
- Appraise the Project progress and make recommendations for next steps.

### **Technical Support Unit (TSU)**

The Technical Support Unit will be formed and based in Bangkok, where UNDP and UNEP are both co-located and have a critical mass of staff already working with non-LDCs globally and regionally. The Lead Technical Specialist will lead the TSU. UNDP and UNEP will identify co-located office space for the project staff. The project staff will be funded by the project throughout its duration to ensure delivery of results as specified in the Strategic Results Framework. The TSU will ensure project implementation proceeds smoothly through well-written work plans and effective administrative arrangements that meet donor requirements.

The TSU will be composed of the following project staff:

- i) Lead Technical Specialist;
- ii) Technical Specialist; and
- iii) Project Assistant

### **Lead Technical Specialist**

The Lead Technical Specialist (LTS) will be contracted by UNDP to be responsible, on behalf of the two Agencies, for the implementation of the project. He/she will be responsible for project implementation and working to achieve the project outcomes. The LTS will direct and guide other project staff, including day-to-day project coordination with other implementing partners. He/She will ensure that input required from the implementing partners is secured, and the project provides the required support. The LTS will be supervised by UNDP and UNEP staff involved in oversight of this project.

### **Responsibilities**

- Approve project Annual work plans and budget revisions.
- Approve annual status and financial reports.
- Ensure that UN rules and procedures are fully met in the course of the project implementation;
- Oversee implementation of Project Board directives;
- Report to UNDP/UNEP/GEF and the Project Board on the use of the project resources and achievement of the project outputs.
- Ensure effective partnership between all implementing partners in the project;
- Ensure that project activities are integrated and coordinated with the established operations of both UNDP and UNEP within their comparative advantage and their areas of work;
- Develop and maintain close linkages with relevant agencies, stakeholders, donors UNDP-UNEP-GEF, NGOs, civil society, international organisations, and implementing partners of the project;
- Supervise and lead the project team in discharging their duties at an optimum level through ensuring efficient and effective resources utilisation;
- Endorse procurement contracts, and
- Guide the Technical Specialist on project implementation issues.

### **Qualifications/ Requirements**

- Graduate degree with at least 10 years working experience in disciplines of environmental science, civil engineering, geography, or natural resource management
- Experience in managing a global umbrella/support project
- Experience in managing diverse staff
- Sound understanding of environmental management issues adaptation, vulnerability and impact, loss and damage etc.;
- Familiarity with the UNFCCC negotiations on adaptation and related issues;
- Extensive contacts with international organisations involved in international studies on natural resource management in a changing climate;
- Excellent inter-personal, communication and negotiating skills;
- Previous work experience in a UN Organisation;
- Ability and willingness to travel;
- Demonstrable skills in computer use including word processing, spread sheets, PowerPoint; and
- Excellent verbal and written skills in English. A second UN language is an asset.

### **Technical Specialist**

The Technical Specialist, appointed by UNEP, will be responsible for ensuring the technical rigor of all project activities that yield technical deliverables. He/She will work towards achieving the technical Outputs of the project using various inputs procured by the project, as well as partnerships developed with other entities who are working to support NAPs in non-LDCs. He/S/e will build and manage relationships and partnerships.

### **Responsibilities**

- Technical monitoring and quality control of all project Outputs that require technical input (especially guidelines and policies);
- Develop detailed Terms of References for consultants and contractors, as required, in collaboration with UNDP and UNEP Regional Advisors;
- Coordinate and oversee technical input and review all technical reports produced by international consultants;
- Draft work plans for all technical activities of the project and prepare outline structure of technical reports;
- Liaise with other organisations supporting the NAP process on the delivery of project Outputs;
- Identify, analyse and communicate lessons learned that may be useful in design and implementation of similar projects. The duty of identifying and analysing lessons learned is an on-going one, and the duty to communicate those lessons is on an as-needed basis, but not less frequently than once every six months.

#### **Qualifications/ Requirements**

- Graduate degree with at least 7 years working experience in disciplines of environmental science, civil engineering, geography, or natural resource management
- Sound understanding of environmental management issues adaptation, vulnerability and impact, loss and damage etc.;
- Familiarity with the UNFCCC negotiations on adaptation and related issues;
- Extensive contacts with international organisations involved in international studies on natural resource management in a changing climate;
- Excellent inter-personal, communication and negotiating skills;
- Previous work experience in a UN Organisation;
- Ability and willingness to travel;
- Demonstrable skills in computer use including word processing, spread sheets, PowerPoint; and
- Excellent verbal and written skills in English. A second UN language is an asset.

#### **Project Assistant**

The Project Assistant will undertake administration of the day-to-day operations of the project office and be responsible for the reporting of project financing.

#### **Responsibilities**

- Set up and maintain all files and records of the project in both electronic and hard copies;
- Collect project related information and data;
- Administer Project Board meetings;
- Establish document control procedures;
- Compile, copy and distribute all project reports;
- Provide logistical support to the TSU and international consultants in organising training events, workshops, and seminars;
- Assist international, short-term consultants by organising their travel schedules, arranging meetings with different stakeholders, and booking hotel accommodations;
- Prepare monthly leave records for the project staff and long-term national/international consultants;
- Draft necessary correspondence with local and international agencies and stakeholders;
- Standardise the finance and accounting systems of the project while maintaining compatibility with UNDP and UNEP financial and accounting procedures;
- Prepare budget revisions of the projects based on the Combined Delivery Reports;

- Assist in the preparation of the Annual Work Plan (AWP);
- Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenditures from readily available information sources;
- Prepare financial status reports, progress reports and other required financial reports;
- Process all types of payment requests for settlement purpose including quarterly advances to the partners;
- Prepare periodic accounting records by recording receipts and disbursements (ledgers, cash books, vouchers, etc.) and reconciling data for recurring or financial special reports and assist in preparation of annual procurement plan;
- Undertake project financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final and final revisions, and support professional staff in preparing the terminal assessment reports;
- Prepare financial reports and documents as per specified formats, project, or programme plans and general reference documents as well as general administrative/financial or specialised tasks related to the project which may be of a confidential nature within the assigned area of responsibility;
- Assist in the timely issuance of contracts and assurance of other eligible entitlements of the projects personnel, experts, and consultants by preparing annual recruitment plans;
- Provide substantive support to the TSU for overall implementation; and
- Prepare and update inventories of expendable and non-expendable project equipment.

***Qualifications/ Requirements***

- University Degree in Commerce, Business Management, or other relevant discipline;
- At least 5 years of relevant administrative, financial or programme experience at the national or international level;
- Strong understanding of budgeting and the UN/GoM accounting system – candidates familiar with UNDP administrative, programme, and financial procedures preferred;
- Ability to use MS Office packages under the Windows XP Professional environment, particularly word processing and spreadsheets (MS Word, Excel, etc.);
- Initiative, sound judgment, and capacity to work independently;
- Knowledge of database packages and web-based management systems;
- Excellent inter-personal and communication skills; and
- Excellent verbal and written skills in English.

**Annex 13: Co-financing commitment letters from project partners**





UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде برنامج الأمم المتحدة للبيئة

联合国环境规划署



Reference : DEPI/GEFCCAU

17<sup>th</sup> November, 2014

**Subject: UNEP co-financing commitment to the SCCF project "*Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs).*"**

UNEP helps developing countries to reduce vulnerabilities and build resilience to the impacts of climate change. UNEP builds and strengthens national institutional capacities for vulnerability assessment and adaptation planning, and supports national efforts to integrate climate change adaptation measures into development planning and ecosystem management practices. The project entitled "*Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)*" is built upon and contributes to the on-going projects and programs implemented by UNEP. More specifically, it will be aligned and build upon and provide mutual benefits to the following ongoing initiatives:

- **The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC AAKNet) (UNEP).** GAN is an umbrella structure that promotes the sharing of knowledge, lessons learned and experiences through regional networks. Exchange of information on climate change adaptation between member countries is facilitated through knowledge platforms, discussion forums and communities of practice. The SCCF-financed project will increase the availability of technical knowledge and toolkits on integration of climate change adaptation into medium- to long-term development planning through GAN and its associated regional networks. Of these regional networks, the Regional Gateway for Technology Transfer and Climate Change Action (REGATTA), the Asian Pacific Adaptation Platform (APAN) and the West Asia Regional Network on Climate Change (WARN-CC) will provide co-financing to this initiative through promoting developed tools and training packages.

Dr. Naoko Ishii  
 CEO & Chairperson  
 Global Environment Facility  
 1818 H Street, NW  
 Washington DC 20433, USA  
 Email: nishii@thegef.org

Please find below the budgets for these UNEP supported / led projects which the SCCF project will benefit from.

---

DIVISION OF ENVIRONMENTAL POLICY IMPLEMENTATION (DEPI)

P.O. Box 30552-00100, Nairobi, Kenya

Tel: (+254 20) 762 6707

Email: keith.alverson@unep.org


**UNITED NATIONS ENVIRONMENT PROGRAMME**

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente  
 Программа Организации Объединенных Наций по окружающей среде    برنامج الأمم المتحدة للبيئة  
 联合国环境规划署



Project/ Network	Budget (US \$)	Duration	Type of co- financing
GAN	550,000	2015 - 2016	Grant
WARN CC	50,000	2015 - 2017	Grant
APAN	100,000	2015 - 2016	Grant
REGATTA	100,000	2015	Grant
<b>Total</b>	<b>800,000</b>		

This letter serves to confirm UNEP's commitment of **USD 800,000** to the above-mentioned GEF SCCF project to provide co-financing through the projects detailed here for the amounts outlined in the table.

We look forward to your continued cooperation.

Yours sincerely,

Keith Alverson

Coordinator, Climate Change Adaptation & Terrestrial Ecosystem Branch

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DIVISION OF ENVIRONMENTAL POLICY IMPLEMENTATION (DEPI)  
 P.O. Box 30552-00100, Nairobi, Kenya  
 Tel: (+254 20) 762 6707  
 Email: keith.alverson@unep.org



# unitar

United Nations Institute for Training and Research

AM/am/14/809

Geneva, 11 November 2014

Dear Dr. Ishii,

I write in connection with UNITAR's co-financing commitment to SCCF project: "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)".

The United Nations Institute for Training and Research (UNITAR) is pleased to confirm a total of US\$3,000,000 as baseline co-financing to support the "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)" project to meet its GEF/SCCF project objectives. The co-financing is committed through the UNITAR supported programme further detailed below.

**The One UN Climate Change Learning Partnership (UN CC:Learn)** is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further phase of funding (2014-27).

Please find below the budget for the UNITAR led project/programme which the SCCF project will benefit from.

Project/ Programme	Budget (US \$)	Duration	Type of co- financing
UN CC:Learn	3,000,000	2014-2017	Grant
<b>Total</b>	<b>3,000,000</b>		

Dr. Naoko Ishii  
 CEO & Chairperson  
 Global Environment Facility  
 1818 H Street, NW  
 Washington DC 20433, USA  
 Email: [nishii@thegef.org](mailto:nishii@thegef.org)  
 With best wishes

Postal Address: UNITAR - Palais des Nations CH-1211 Geneva 10 - Switzerland  
 Street Address: International Environment House 11-13 Chemin des Anémones CH-1219 Châtelineau - Geneva  
 T +41 22 917 8400 F +41 22 917 8047 [www.unitar.org](http://www.unitar.org)

Institut des Nations Unies pour la formation et la recherche  
 Instituto de las Naciones Unidas para Formación Profesional e Investigaciones



Page 2

May I wish you and your team every success in the further development and eventual implementation of this project.

Sincerely,

A handwritten signature in black ink, appearing to read 'A. Mackay'.

Angus Mackay  
Manager  
Climate Change Programme

CC: Pradeep Kurukulasuriya, UNDP; Ermira Fida, UNEP

page 2

*CC: Angus Mackay, Head, UN CC:Learn Secretariat, UNITAR*

**United Nations Development Programme**



*Empowered lives.  
Resilient nations.*

23 October, 2014

Dear Dr. Ishii,

**Subject: Co-financing letter for project “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)”.**

UNDP is pleased to confirm US\$15,000,000 as baseline co-financing to support the “**Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)**” project to meet its GEF/SCCF project objectives.

The co-financing is committed from the “**Low-Emission Capacity-Building (LECB) Programme**”, which is currently under implementation, with a total budget of US\$40,000,000 from the European Union, the Government of Germany, and the Government of Australia. The LECB Programme facilitates cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMAs), strengthens institutional technical capacities and facilitates public-private partnerships.

In the context of the proposed SCCF project, the LECB Programme lays critical foundations upon which work can be augmented, such as:

- a) development of climate scenarios and adaptation planning in light of agreed mitigation interventions at the country level,

/...

Dr. Naoko Ishii  
Chief Executive Officer and Chairperson  
Global Environment Facility  
1818 H Street, NW, MSN G6-602  
USD, Washington DC, 20433

304 East 45<sup>th</sup> Street, New York, NY 10017, USA, Tel: 1 212 906 5143, Fax: 1 212 906 6998 [www.undp.org](http://www.undp.org)

**United Nations Development Programme**

- b) public-private collaboration on adaptation initiatives, and
- c) methodologies to track and monitor the allocation, management and results of public expenditures, related to climate change.

Yours Sincerely,



Nik Sekhran  
Chief of Profession for Sustainable Development  
UNDP/BPPS

Cc: Stephen Gold, Head GLECRDS, PTA, UNDP/BPPS/GEF  
Yamil Bonduki, PM, LECB, UNDP/BPPS  
Claudia Ortiz, RTS, Bangkok

**Annex 14: Endorsement letters of GEF National Focal Points**

No letters of endorsement are necessary for this global support programme.

**Annex 15: Draft procurement plan**

The table below specifies the technical assistance consultancies planned for the SCCF-financed project (to be updated with UNDP budget)

<b><i>Position titles</i></b>	<b><i>US\$ per person week</i></b>	<b><i>Estimated person weeks</i></b>	<b><i>Tasks to be performed</i></b>
International consultants	2,250	225	<p>The International consultants will assist with the development of guidelines, technical manuals, and information and other material. They will provide direct support to participating countries, as well as facilitating training events and thematic workshops. The International consultants will also be responsible for setting up and maintaining knowledge and information systems as appropriate.</p> <p>Furthermore, the International consultants will assist the project staff in providing participating countries with support for the development of NAP papers, the facilitation of stakeholder and other meetings, and in the promotion of awareness and dissemination of lessons and experiences.</p>



## Annex 16: Tracking Tools

The outcomes, indicators, target at CEO Approval and baselines from the **Climate Change Adaptation - LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT)** are shown below.

<b>Project Baselines, targets and outcomes</b>						
<b>Indicator</b>	<b>Unit of measurement</b>	<b>Baseline at CEO Endorsement</b>	<b>Target at CEO endorsement</b>	<b>Actual at mid-term</b>	<b>Actual at Completion</b>	<b>Comments (e.g. specify unit of measurement)</b>
<b>Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation</b>						
<b>Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</b>						
Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	Number of people	0	300			
	% female	0	30%			
<b>Objective 3: Integrate climate change adaptation into relevant policies, plans, and associated processes</b>						
<b>Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</b>						
Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes	Number of countries	0	20			
	Score	1	2			This score is based on the "Scoring Methodology" definition in the AMAT, but using an estimation of the level of arrangements, instead of the 5

						<p>criteria provided by GEF SEC. It is at this stage unclear which countries will receive one-on-one support, and thus it is not possible to define the score for each criterion. Most likely, all countries targeted have at least started arrangements to integrate CCA into policies, plans and processes, thus the baseline is scored as "1".</p>
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### **Annex 17: UNDP & UNEP comparative advantage**

The project is supported by UNDP's policy framework, as well as technical expertise, at three levels: global, regional and national.

Given the project's focus on climate resilient planning, the project falls under Outcome 1 of the UNDP Strategic Plan 2014-2017:

*Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded*

- Output 1.4. Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented

The SCCF-financed project is part of UNDP's well-established climate change adaptation programme overseen by the Green Low-emission, Climate-resilient Development Strategies (LECRDS) unit. The programme has an active portfolio totalling \$800million, though funding from the LDCF, SCCF, the Adaptation Fund as well as bilateral donors.

UNEP's Programme of Work (PoW) details *inter alia* the expected accomplishments of the organisation in achieving its over-arching goals. This project is aligned with the objective of Subprogramme 1 of the current UNEP Programme of Work (2014-2015) "*to strengthen the ability of countries to move towards climate-resilient and low emission pathways for sustainable development and human well-being*", as it will support non-LDC developing countries to include planning for climate change adaptation into national development processes. Under Expected Accomplishment (a) of UNEP's Subprogramme 1 - Climate Change<sup>67</sup>, the project will be contributing to PoW Outputs 1, 3, and 5. In particular, the focus will be on contributing towards Output 3: *Support provided to integrate Ecosystem-based Adaptation (EbA) and supporting adaptation approaches into national and sectoral development policies, plans and strategies, and develop legal and regulatory frameworks*. To support the integration of climate change adaptation into national development planning, the project will provide toolkits and training, support national technicians, promote improved coordination mechanisms and enhance knowledge sharing through climate change networks. The project will also contribute to the outputs described below.

- Output 1: *Technical support provided to countries to develop and pilot methods and tools and dissemination of these through knowledge networks along with research results, lessons learnt and good practices.*
- Output 5: *Support provided to countries to improve access to public and private global, regional and national adaptation finance, strengthen readiness for deploying finance and apply innovative finance mechanisms.*

UNEP has experience in implementing approximately 80 projects on adaptation at global, regional and national levels. These projects develop innovative solutions for national governments and local communities to adapt to the predicted effects of climate change in an environmentally sound manner. This is achieved by: i) providing methods and tools to support decision making; ii) addressing barriers to implementation; iii) testing and demonstrating proposed solutions; and iv) enhancing climate resilience by restoring valuable ecosystems that are vulnerable to climate change. UNEP has accumulated an impressive body of knowledge and experience from its implementation of previous and ongoing projects. The agency will draw upon this experience during the implementation of the SCCF-financed

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<sup>67</sup> Ecosystem-based and supporting adaptation approaches are implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts.

project. Furthermore, UNEP has been known for its strong technical and scientific background in the field of climate change.

UNDP and UNEP have had a successful history of collaboration, and the agencies are currently working together on implementation of the related *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* and the *Building capacity for LDCs to participate effectively in intergovernmental climate change processes* projects. The SCCF-financed project would benefit from the already-established knowledge platform, roster of experts, and network of support provided by these efforts.

## Annex 18: UNEP checklist for Environmental and Social Safeguards

As part of the GEF's evolving Fiduciary Standards, implementing agencies have to address "Environmental and Social Safeguards". The checklist was developed with the following steps as guidance:

- STEP 1: Initially assess E&S Safeguards as part of PIF development. The checklist is to be submitted for the PRC.
- STEP 2: Checklist is reviewed during the PPG phase and updated as required.
- STEP 3: Final checklist submitted for PRC showing which activities are being undertaken to address issues identified.

<b>Project Title:</b>	<b><i>Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPS)</i></b>		
<b>GEF project ID and UNEP ID/IMIS Number</b>		<b>Version of checklist</b>	One
<b>Project status (preparation, implementation, MTE/MTR, TE)</b>	Under preparation	<b>Date of this version:</b>	September 2014
<b>Checklist prepared by (Name, Title, and Institution)</b>	<i>Nina Raasakka, Task Manager, GEF CCAU, DEPI UNEP.</i>		

*In completing the checklist, both short- and long-term impacts shall be considered.*

### **Section A: Project location**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Is the project area in or close to - - densely populated area	N/A	The SCCF-financed project is a global support programme that will strengthen the capacities of non-LDCs. As such there are no on-the-ground interventions related to a project location. The responses to this section are therefore all "N/A".
- cultural heritage site	N/A	
- protected area	N/A	
- wetland	N/A	
- mangrove	N/A	
- estuarine	N/A	
- buffer zone of protected area	N/A	
- special area for protection of biodiversity	N/A	
- Will project require temporary or permanent support facilities?	N/A	

*If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.*

**Section B: Environmental impacts, i.e.**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Are ecosystems related to project fragile or degraded?	N/A	No specific ecosystems are related to the project.
- Will the project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	No	No permanent infrastructure will be constructed for the project.
- Will project cause impairment of ecological opportunities?	N/A	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	N/A	
- Will project cause air, soil or water pollution?	N/A	
- Will project cause soil erosion and siltation?	N/A	
- Will project cause increased waste production?	N/A	
- Will project cause Hazardous Waste production?	N/A	
- Will project cause threat to local ecosystems due to invasive species?	N/A	
- Will project cause Greenhouse Gas Emissions?	N/A	
- Other environmental issues, e.g. noise and traffic	N/A	
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

**Section C: Social impacts**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Does the project respect internationally proclaimed human rights including dignity, cultural	Yes	The project will align with national policies, strategies and priorities in participating non-LDCs.

property and uniqueness and rights of indigenous people?		
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	N/A	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	No	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	Yes	The SCCF-financed project is designed to <i>inter alia</i> strengthen the capacity of government staff in non-LDCs for medium-to long-term adaptation planning. These stakeholders will benefit from training and additional institutional support. Additionally, extensive consultations will be undertaken with a diverse range of stakeholders in each of the participating countries.
- Will the project affect the state of the targeted country's (-ies') institutional context?	Yes	The project will focus on capacity building and knowledge sharing on medium- to long-term adaptation planning. Part of this includes training government ministries, as well as strengthening national mechanisms and disseminating information on good practices. Through these activities, the project will positively impact on the countries' institutional frameworks for effective medium- to long-term planning for climate change adaptation in accordance with national development priorities.
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial uses (water supply or fisheries)?	N/A	
- Will the project cause technology or land use modification that may change present social and economic activities?	Yes	The enhancement of capacity in non-LDCs for medium- to long-term planning for climate change adaptation is expected to result in improved socio-economic conditions.
- Will the project cause dislocation or involuntary resettlement of people?	No	
- Will the project cause uncontrolled immigration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	No	The project interventions do not entail any road or similar substantial infrastructure constructions.
- Will the project cause increased local or regional unemployment?	No	

- Does the project include measures to avoid forced or child labour?	N/A	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	N/A	
- Will the project cause impairment of recreational opportunities?	N/A	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	No	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	No	The project will include a focus on gender equity and will promote gender-sensitivity during the implementation of project activities.
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	No	
- Does the project include measures to avoid corruption?	Yes	According to UNEP norms and guidelines.
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

#### **Section D: Other considerations**

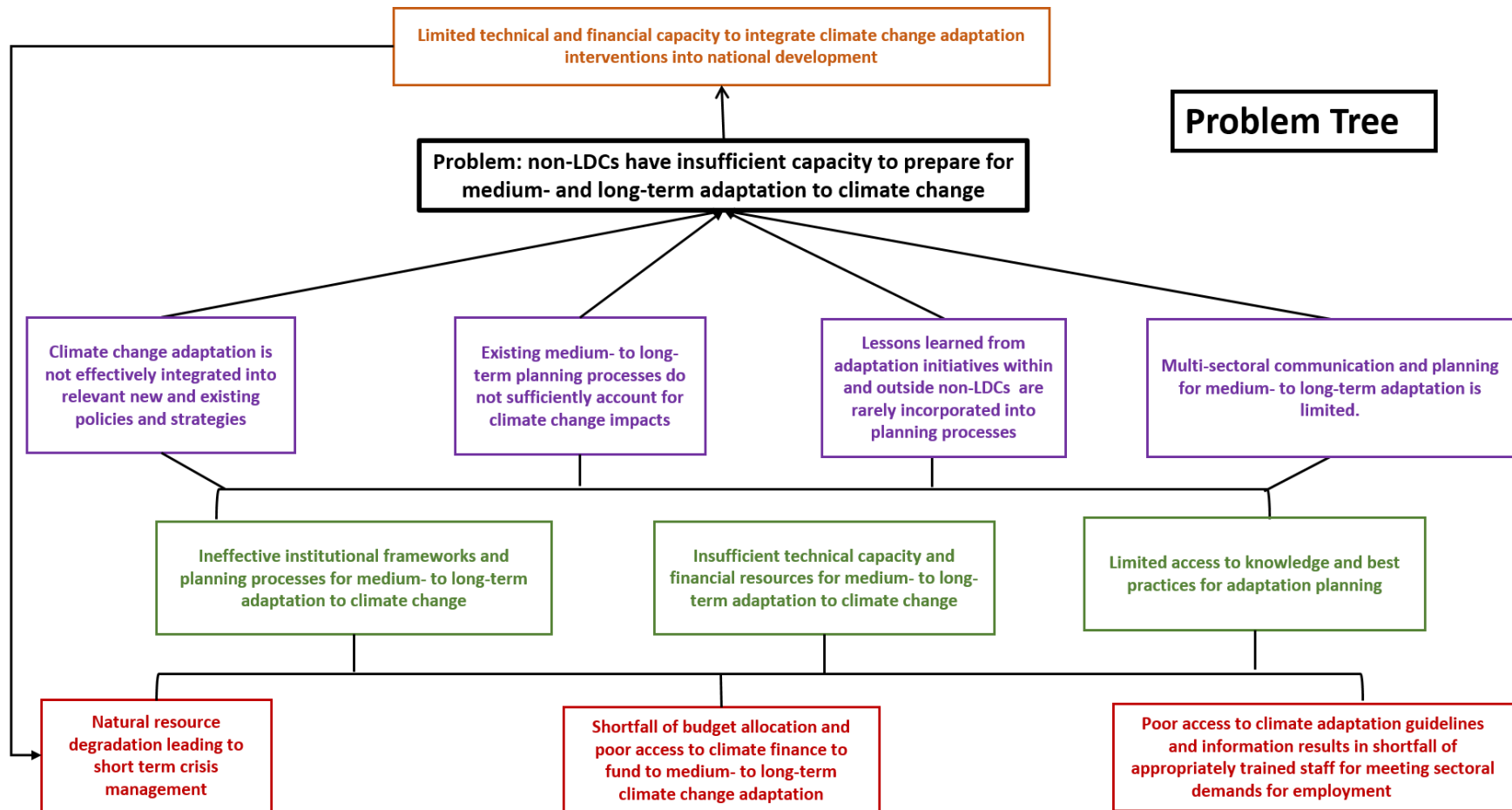
If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

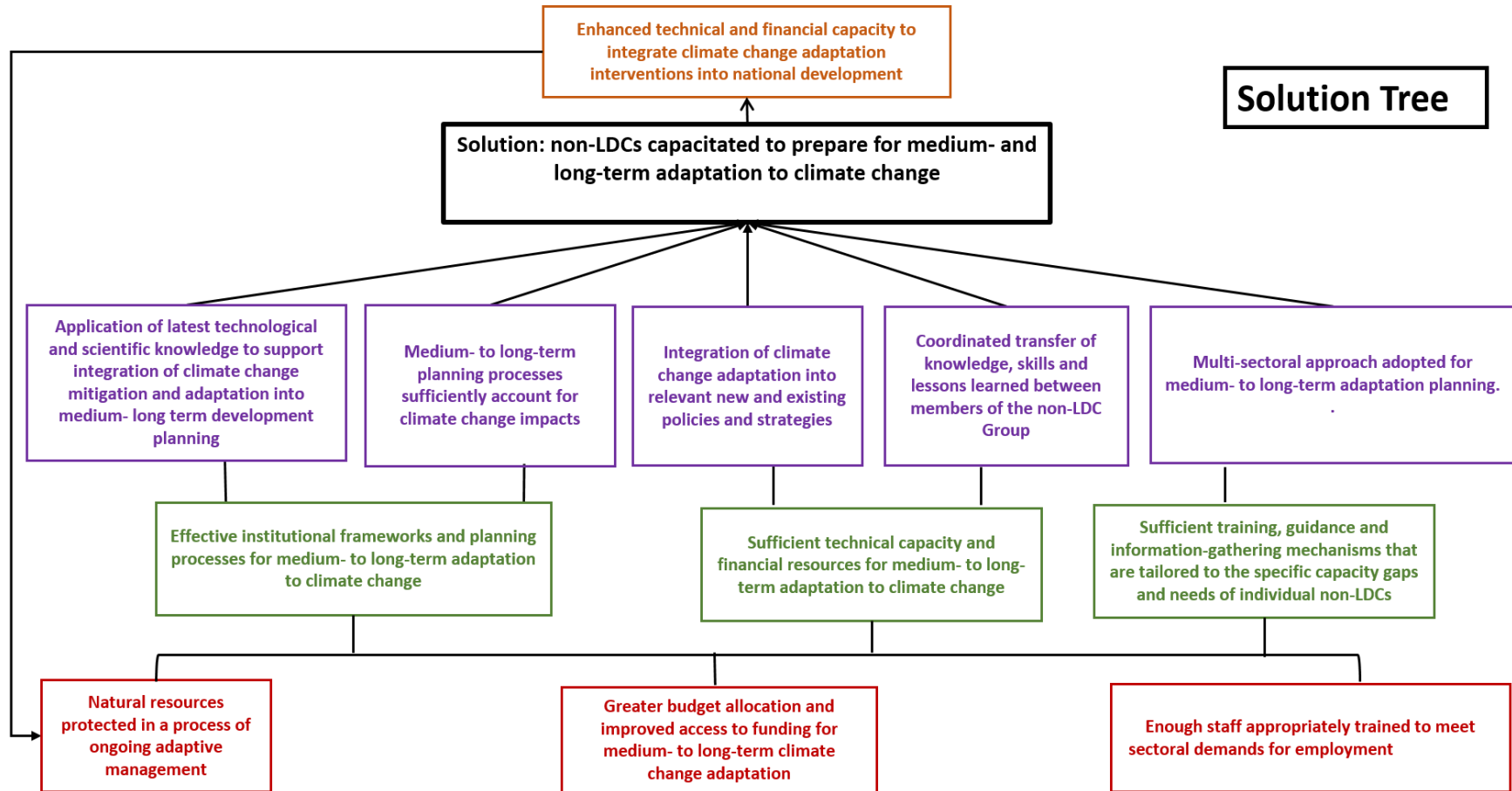
	Yes/No/N.A.	Comment/explanation
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	N/A	The project's activities will not result in direct impacts on the environment.
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	N/A	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	No	The project was instigated at the need expressed by non-LDCs for a Global Support Programme for developing countries.
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	Yes	Medium- to long term positive environmental and social impacts are expected to accrue. This will be achieved as the project contributes to sustainable development planning through the generation of benefits and sharing of lessons learned. This will facilitate subsequent replication and upscaling.

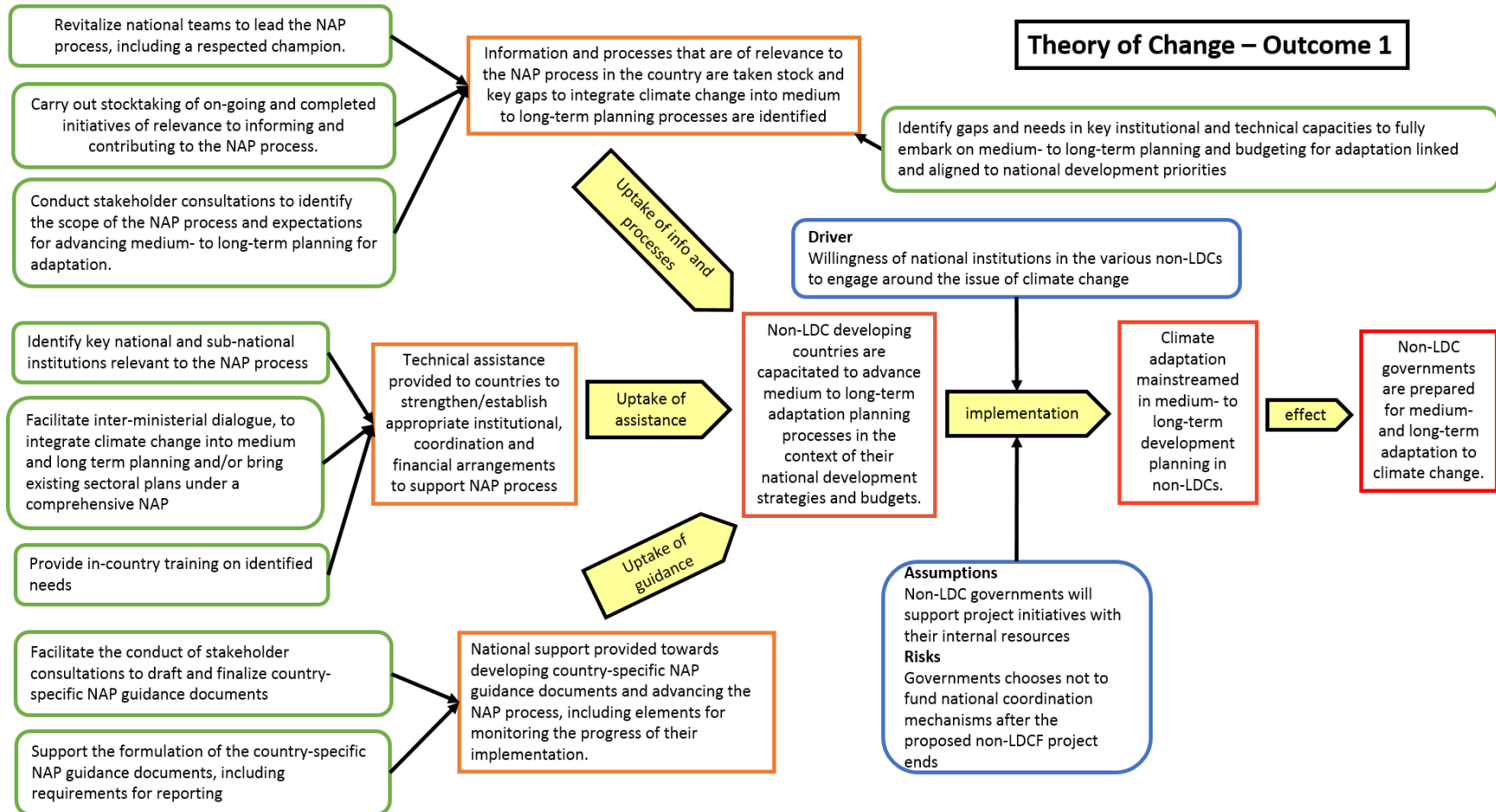


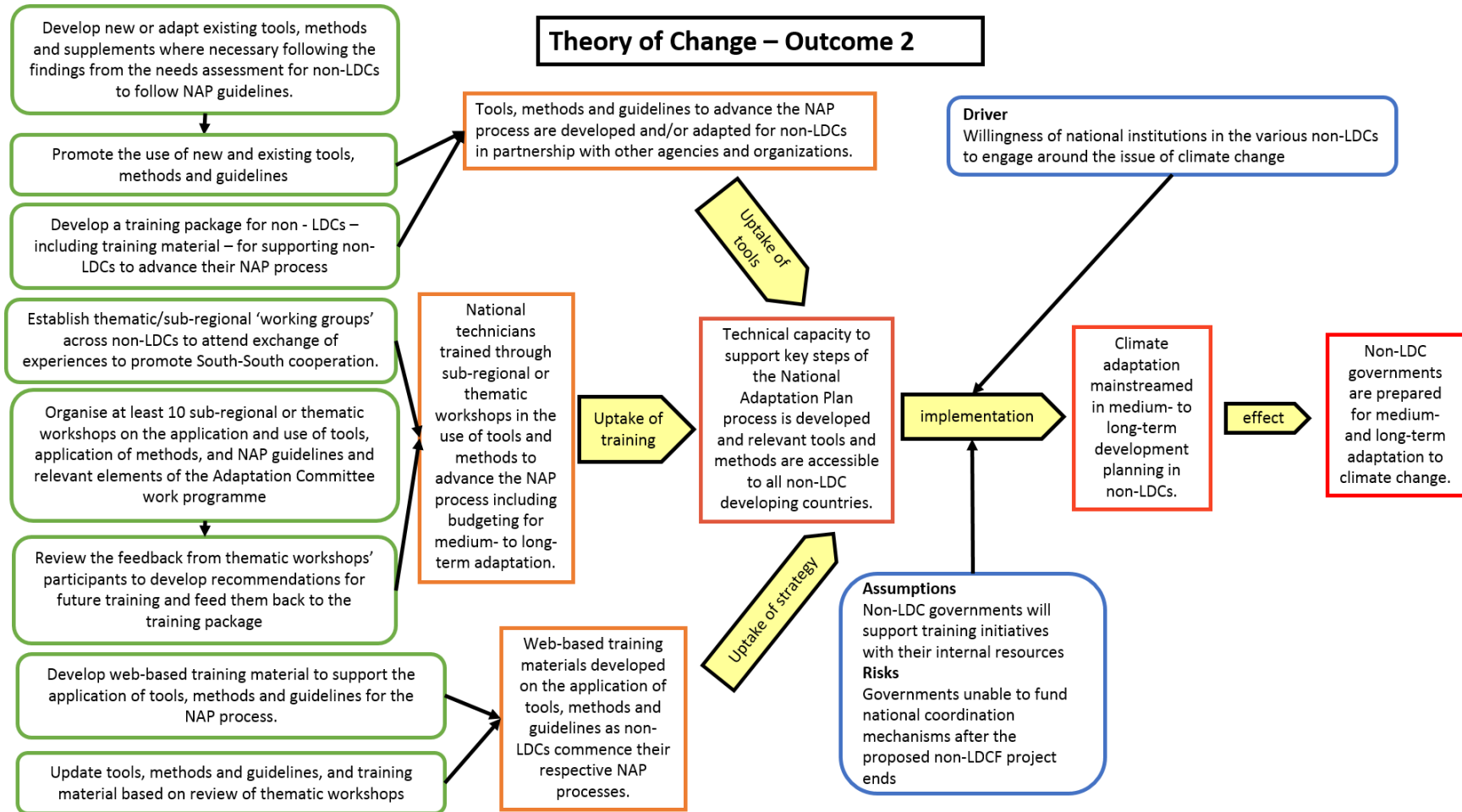
- Is it possible to isolate the impact from this project to monitor E&S impact?	N/A	
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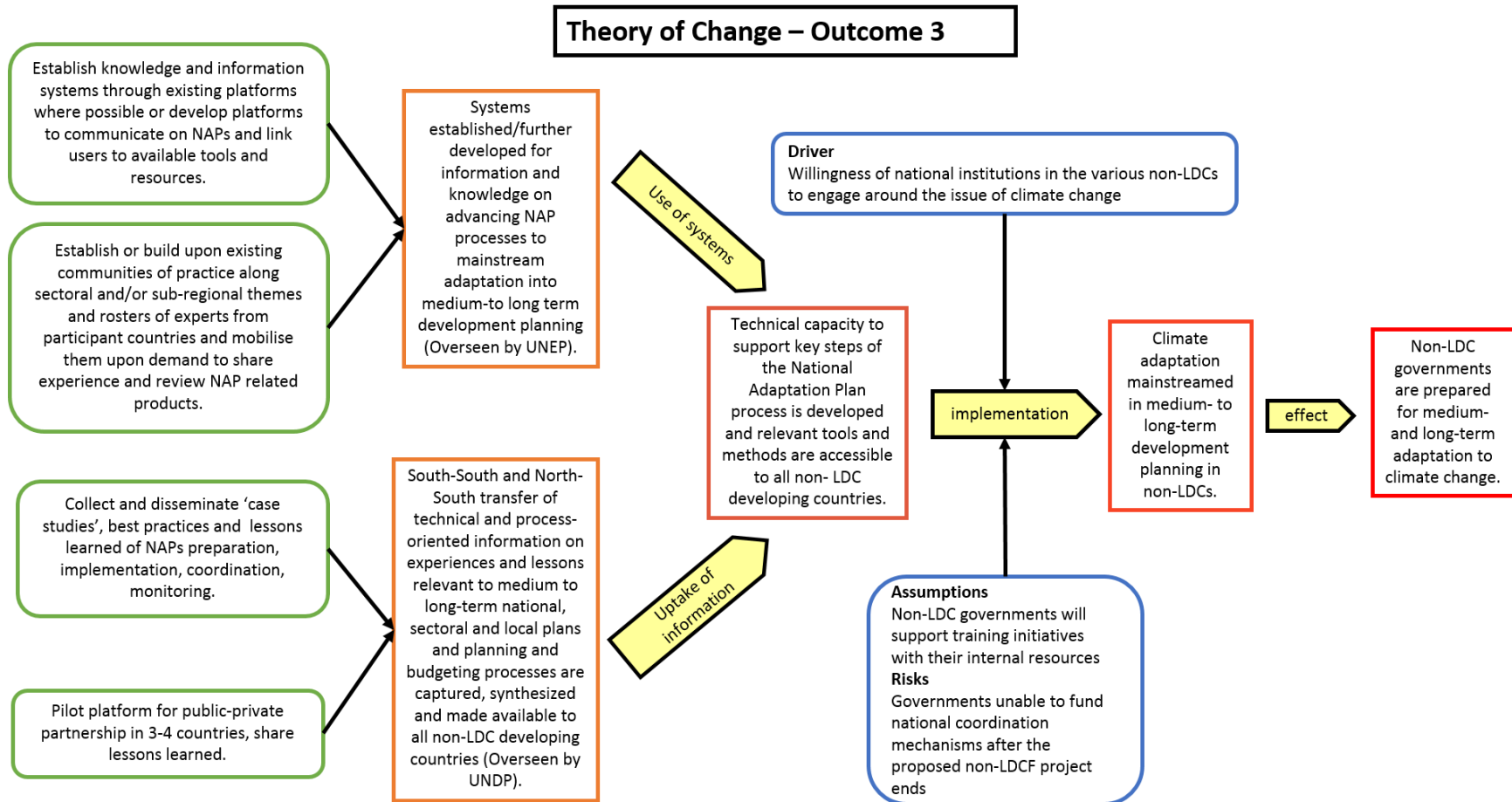
Annex 19: Theory of Change











**Annex 20: Stakeholder consultations during the PPG identifying the priorities for support according to the elements and steps of the NAP process.**

As the project is global in scope, consultations with country representatives and development partners were sought through major climate change-related events, as well as Adaptation Committee meetings, in particular:

- Bonn Climate Change Conference, Bonn, June 2014
- Taller Sub-regional – Medidas y Proyectos de Adaptación (Sub-regional Workshop – Adaptation Measures and Projects), Mexico City, September 2014
- USAID Adapt Asia-Pacific Third Annual Forum 2014, Siem Reap, September 2014
- NAP Task Force Meeting, Bonn, September 2014
- 6<sup>th</sup> Meeting of the Adaptation Committee, Bonn, September 2014

Further, existing networks and in-country missions were used to conduct additional consultations with non-LDCs on country needs, experiences and progress related to the NAP process.

The consultations were not meant to be a thorough assessment, but rather a means of collecting information to refine the design of the SCCF project. Notes and highlights from consultations are captured below. These should serve as a basis upon which to further discussions with countries on stocking and identifying needs related to the NAP process, which can be addressed by the SCCF project.

Countries and UNFCCC Party Groupings	Consultation Notes
African States	<ul style="list-style-type: none"> <li>• Many countries have developed 'NAP-like' strategies/plans, but these aren't always comprehensive enough to encompass the full extent of medium- to long-term adaptation priorities.</li> <li>• There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive</li> <li>• There are a number of contextual issues that need to be addressed in providing support to non-LDCs, there is a need for flexibility.</li> <li>• In the pre-development of the NAP, it is important to emphasize that it looks at long-term adaptation</li> <li>• As NAPs are focused on the longer term, there is a need for technical support to improve scientific understanding of evolving impacts of climate change, to inform planning.</li> <li>• Clarity on NAP guidance is needed. The current guidelines for NAP are aimed at LDCs, are these relevant enough for non-LDCs.</li> <li>• There is a need for support to implement priorities of existing adaptation strategies/plans, rather than supporting the planning process itself.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Alliance of Small Island States (AOSIS)	<ul style="list-style-type: none"> <li>• NAPs should be aligned with predictable financial support, funding for non-LDCs is unpredictable and inadequate</li> <li>• There is a need for an increased focus on implementation (as opposed to planning) of adaptation priorities</li> <li>• Special technical guidelines should be developed to include specific consideration of the vulnerabilities of SIDS <ul style="list-style-type: none"> <li>◦ High vulnerability to climate change</li> <li>◦ Low technical capacity</li> </ul> </li> </ul>
Armenia	<ul style="list-style-type: none"> <li>• Armenia has a number of strategies/plans for adaptation. However, there are differences between maturity of these plans. Most planning is presently focussed on short-term adaptation priorities.</li> <li>• It is not clear what the proposed format of the NAP should be, e.g. what details should be included in the NAP? The NAP should not be a detailed wishlist (like the NAPA) but rather a guiding document; otherwise there is little added value in undertaking this process. The document should be prepared in a way that it is ready for government approval.</li> <li>• Armenia already has a national adaptation strategy that is currently a part of their National Communication. Armenia's NAP should therefore be an expansion on the National Communication with a focus on embedding approaches for adaptation planning.</li> <li>• The NAP should include a comprehensive and detailed description of climate risks that can attract the attention and support of government officials. The “creeping” nature of climate change impacts requires equal consideration of long-term climate risks with shorter-term risks that are easier to recognise for decision-makers.</li> <li>• An inherent part of the NAP should be an action plan. Coupled to this should be costed and budgeted priorities to motivate for funding from government and donors.</li> <li>• Armenia has an interdepartmental council but this body rarely plans and implements climate change activities. This council has the potential to act as the national coordination mechanism for the NAP process provided they are given a strong mandate.</li> <li>• The best entry point is to engage with the stakeholders currently coordinating the National Communications. However, this will require establishing a strong mechanism to ensure ongoing coordination.</li> <li>• There is a need to enhance understanding of climate change adaptation. At present, technical expertise for adaptation is spread across a number of ministries. This will need to be upscaled and replicated so that all ministries understand their various functions and responsibilities regarding adaptation in each sector.</li> <li>• An effective tool for exposing high-level decision-makers to adaptation is to convene national workshops to which various ministries are invited. These workshops should build understanding of how climate change impacts each sector. However, this should be separate from more technical training for government staff that are responsible for on-the-ground implementation.</li> <li>• Technical training is likely to be more effective if in-country workshops are arranged, rather than regional workshops. Recent experience of invitations received for regional (e.g. EU-organised) events have shown that ministries are only able to send a few delegates to attend. Moreover, these delegates are often unable to transfer the knowledge gained to all relevant stakeholders on their return.</li> <li>• A preferred approach would be to arrange for short-term specialists to visit countries to attend national or sub-regional</li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
	<p>workshops. In this way, the technical training can be tailored to country-specific contexts that are a function of inter alia: i) government systems; ii) geographical and climatic factors; iii) ecosystems; and iv) culture. Specialists could be sourced from a roster of experts (e.g. through the various partners under the GSP) and provide targeted training to larger and more diverse groups than would be able to attend regional workshops.</p> <ul style="list-style-type: none"> <li>• These workshops can be complemented by remote/online support relating to tools and methodologies for integration of climate change into medium- to long-term planning.</li> <li>• It is necessary to ensure that information and knowledge is packaged into “easy-to-digest” training sessions and tools that are designed to promote application of the knowledge. At present, government technicians are often over-burdened with considerable workloads. In addition, they may not have the requisite training to make best use of information if it is not presented with application/implementation in mind. Language barriers may also hinder utility of complex information.</li> <li>• In particular, technical assistance is required concerning: i) up-to-date climate risk information; ii) mapping of future climate risk scenarios; iii) application of this information in development planning to reduce these risks, especially for the water sector; and iv) development of costed/budget projects that are bankable and suitable for application to donor funding for implementation.</li> <li>• Entry points for private sector involvement in financing such projects as well as other initiatives – e.g. agricultural insurance – should also developed during the NAP process. This should lead to creation of legislation and incentives for promote such private sector involvement.</li> </ul>
Belize	<ul style="list-style-type: none"> <li>• Belize has developed a draft National Climate Change Policy, Strategy and Action Plan that will soon be endorsed. This is a combined adaptation/mitigation framework that encourages engagement of all government agencies in designing options for mitigation and adaptation. It also creates an enabling environment for capacity building and technology transfer.</li> <li>• To support coordination and mainstreaming of climate change concerns, a National Climate Change Office has been created within the Ministry of Forestry Fish and Sustainable Development. In addition, a National Climate Change Committee has been established. This NCCC includes at least one representative per government ministry to ensure a coherent and collaborate approach to climate change adaptation. However, there is need for considerable strengthening of the NCCO.</li> <li>• At least 9 policies/plans have been designed to integrate climate change into prioritisation across a number of sectors, including: i) integrated coastal zone management; ii) integrated watershed resource management; iii) food and agriculture policy; and iv) the national development framework.</li> <li>• Funding has been/can be accessed through: i) the Adaptation Fund; ii) the Caricom Climate Change Centre; iii) the EU-GCCA initiative; and iv) other multi-/bi-lateral funding through WWF and the WB.</li> <li>• Challenges that constrain adaptation to climate change include: <ul style="list-style-type: none"> <li>○ limited financial and technical resources;</li> <li>○ little demonstration and adoption of climate-resilient techniques;</li> <li>○ poor levels of awareness and education;</li> </ul> </li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<ul style="list-style-type: none"> <li>○ uncertainties concerning the negotiation processes; and</li> <li>○ capacity building.</li> </ul>
Bolivia	<ul style="list-style-type: none"> <li>• Taking stock of and revising guidelines for the NAP process must not happen too early, as this will result in “shifting goalposts”.</li> <li>• The present focus of NAPs is (perceived as) too limited. There is an increased need for a focus on implementation of adaptation priorities. This could be addressed by the development of packages of interventions for addressing particular vulnerabilities.</li> <li>• Integration of various adaptation priorities is problematic. This has resulted in discrete siloes of funds within countries for sectoral adaptation planning that is disparate. Consequently, mainstreaming of adaptation across all sectors is constrained.</li> <li>• Need to link to financing (e.g. GCF), with an aim towards reducing vulnerability.</li> </ul>
Brazil	<ul style="list-style-type: none"> <li>• Brazil is advanced in its NAP work, and would be interested to learn of opportunities to related provide South-South support.</li> <li>• Also appreciated however would be opportunities to partake in technical trainings.</li> </ul>
Cook Islands	<ul style="list-style-type: none"> <li>• Cook Islands has completed the JNAP, which was endorsed in 2012; the JNAP will be reviewed in 2015 – this provides an opportunity for including elements of the NAP process into the revision.</li> <li>• The JNAP follows a similar coordination mechanism to the National Communication. This provides a platform for facilitation of the NAP process and integrating it with the JNAP revisions.</li> <li>• Technical assistance is required, particularly concerning economic and social costing of projected impacts of climate change and development of costed/budgeted implementation priorities.</li> </ul>
Colombia	<ul style="list-style-type: none"> <li>• Introductory discussions - interested in learning more about the SCCF project once operational and support available</li> </ul>
Costa Rica	<ul style="list-style-type: none"> <li>• It is an interesting moment to develop the NAP because there are a few other legislation frameworks under revision (National Development Plan, National strategy for biodiversity and adaptation strategy for biodiversity). <ul style="list-style-type: none"> <li>• There is an interest in linking the NAP to the agriculture sector (sustainable land use, erosion control, future conflicts between agriculture and forestry due to climate change, etc.).</li> <li>• Cost Rica is in the process of forming a multi-institutional and multidisciplinary team, later work, make an assessment of the information out there, and determine gaps. There is a need to secure funding to fill the gaps and achieve a competitive work team.</li> <li>• Technical assistance is needed through on-site and electronic media, as well as financial support.</li> </ul> </li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Cuba	<ul style="list-style-type: none"> <li>• The 1st “Programme to face climate change” was implemented in 2007. This has been followed up by the “National strategy to face climate change 2015–2030”. This strategy has a set of nine sub-strategies to address climate change. A national adaptation plan is part of this comprehensive strategy that includes mitigation and renewable energy.</li> <li>• With the existence of this strategy, there is no need for a separate legal framework for climate change. Rather, Cuba needs a broader umbrella framework within which climate change is included. This would support the articles in the constitution related to climate change such as environmental law, coastal regulation, fisheries, forestry, water, soil, national parks and natural disasters.</li> <li>• The principles that must underlie all adaptation priorities are cost-benefit analyses and proven benefits of adaptation actions.</li> <li>• The national budget reflects that states interest in supporting climate change priorities. However, Cuba experiences considerable constraints in the availability of financial resources for adaptation.</li> <li>• There is strong need for transfer of adaptation technology and capacity building for adaptation planning and implementation. This could be best achieved through a platform for technology transfer and regional information sharing.</li> </ul>
Dominican Republic	<ul style="list-style-type: none"> <li>• The National Development Strategy includes considerations for climate change. However, these considerations are not currently actionable.</li> <li>• A national council of climate change was established in 2008. This has supported the development of a Strategic Plan for Climate Change (completed), a Climate Change Law (in draft) and a National Policy on Climate Change (currently pending approval). There is also currently a National Action Plan for Adaptation 2020.</li> <li>• There is a need for development of project proposals. This requires support and training on conducting cost-benefit analyses.</li> <li>• A national coordination mechanism has been instituted, but requires strengthening to effectively manage inter-sectoral collaboration.</li> </ul>
Eastern European States	<ul style="list-style-type: none"> <li>• Efficiency and sharing of information should be key factors in determining the approach to capacity building, especially for (sub-)/ regional activities.</li> <li>• M&amp;E of adaptation benefits is problematic. Analysis of loss and damages is routinely undertaken, but M&amp;E of social benefits is generally not, owing to political and other sensitivities.</li> <li>• It was reiterated that emphasis during the NAP process should be on development of an action plan for climate-resilience, rather than merely development of an additional set of guidelines and reports.</li> <li>• There is a need to identify means of obtaining financial assistance for implementation of adaptation priorities.</li> <li>• There are challenges with the coordination of initiatives for planning and implementation of adaptation priorities. For example, government ministries may be unaware of what donor-driven projects are doing within their sectors. In addition, there is often duplication of project activities resulting in inefficiencies.</li> <li>• There is ongoing support (e.g. GIZ, EU), which the SCCF project must seek complementarity and cooperation.</li> <li>• Must ‘progress constructively’, building on what’s already been done.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Ecuador	<ul style="list-style-type: none"> <li>• Ecuador is currently developing a joint strategy for adaptation and mitigation. This is in process and not yet finalized.</li> <li>• Inter-ministerial coordination is not optimal. There is an inter-ministerial commission on climate change but it is not effective.</li> <li>• Ecuador is interested in building technical capacities for vulnerability assessments for different sectors and development of adaptation strategies based on such analyses.</li> <li>• Guidance and training must be adjusted to the reality in the region, not a standard training product</li> <li>• There are strong technical capacities in many sectors, however, it is not clear how to integrate those capacities for adaptation planning.</li> <li>• There is a policy and regulatory framework on climate change under development, but enforcement is challenging.</li> <li>• Planning for adaptation needs to be done in a reasonable timescale for policy makers to be interested in it. Too long term makes them lose interest.</li> <li>• There is interest in joint initiatives (discussion, trainings, etc.) with other countries in the region. The sub-regional/regional approach is important for knowledge sharing.</li> </ul>
El Salvador	<ul style="list-style-type: none"> <li>• The National Climate Change Plan includes inter-institutional planning for adaptation, mainstreaming of climate change, and public finance management for climate change. In addition, a portfolio of projects has been developed to reflect adaptation priorities for the soil, agriculture and forestry sectors. However, planning remains a challenge, particularly regarding the prioritisation of adaptation needs at the sub-national level.</li> <li>• Assessments of losses and damages require improved knowledge of droughts in particular. The impacts of climate change on inter alia water and roads also needs further investigation. This information is necessary to underpin the implementation of adaptation interventions that provide real and measurable benefits.</li> <li>• Adaptation plans and programmes need to be based on improved knowledge concerning factors such as: i) proper diagnosis of climate change impacts; ii) funding needs; iii) gaps in national funding and opportunities for international funds; iv) timeframes for adaptation options; and v) the selection of indicators for reporting on adaptation benefits.</li> <li>• El Salvador is considering possibilities for establishment of a Green Fund to finance adaptation interventions.</li> <li>• A concept note for the NAP process has been developed to promote access to funds. The summary of the concept note is as follows: <ul style="list-style-type: none"> <li>I. Development of tools and models to prioritize local and sectoral adaptation strategies. <ul style="list-style-type: none"> <li>• Development of models to assess impacts on agriculture, water resources, infrastructure and health.</li> <li>• Capacity development on risk management at the local level.</li> <li>• Development of a national information system to systematize local climate risks.</li> <li>• Local governance and management models.</li> </ul> </li> <li>II. Establishment and strengthening of the institutional landscape for climate change. <ul style="list-style-type: none"> <li>• Design of institutional landscape</li> <li>• Design of financial landscape</li> </ul> </li> <li>III. Mainstreaming of climate change in public policies.</li> </ul> </li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<ul style="list-style-type: none"> <li>• Mainstreaming of climate change in public policies and plans</li> <li>• Integration of climate change criteria in the planning and budgetary processes</li> <li>IV. National Adaptation Plan development</li> <li>• Identification mid and long-term adaptation needs.</li> <li>• Integration of adaptation in the national policy framework</li> </ul>
Federal States of Micronesia	<ul style="list-style-type: none"> <li>• FSM has mechanisms in place to access GEF and AF financing. However, there are difficulties in realizing this funding (delays).</li> <li>• Support is needed to strengthening capacities and developing modalities to access finance.</li> </ul>
Fiji	<ul style="list-style-type: none"> <li>• Fiji's National Climate Change Policy is at its midpoint. Lacking are action/implementation plan, parameters for coordination and monitoring, relocation guidelines for communities vulnerable to erosion, V&amp;A Assessments, biennial reporting support, and support in identifying and establishing links to other initiatives.</li> <li>• The NAP can be an opportunity to bring together sectoral plans and sectoral sub-committees under one comprehensive approach.</li> <li>• There is a preference to keep the NAP separate from National Communication support.</li> <li>• There is a preference to use local consultants, with ongoing support provided.</li> </ul>
G-77 and China	<ul style="list-style-type: none"> <li>• In SCCF project, there is a need to include elements other than NAP formulation. There must be a focus on implementation of priorities to reduce vulnerability to climate change, with linkages to finance (e.g. GCF).</li> <li>• Proliferation of guidelines on the NAP process is confusing; there is a need for coherence and rationalization. Must take stock of existing guidelines.</li> <li>• Must ensure that guidelines are in line with poverty/vulnerability reduction goals.</li> </ul>
Georgia	<ul style="list-style-type: none"> <li>• Expertise needed to train national institutions on approaches to develop NAPs that cover all sectors.</li> <li>• Needs appropriate models and tools, particularly for performing VRAs.</li> <li>• Georgia is committed to develop adaptation projects but these must be costed/budgeted to access funding from various sources. This will require a plan to develop bankable projects for climate change adaptation.</li> <li>• Partnerships such as PROVIA and the support provided for National Communications proved to be effective – a similar approach could be used for the GSP.</li> </ul>
Ghana	<ul style="list-style-type: none"> <li>• Ghana has developed a National Adaptation Strategy, identifying over 20 projects for implementation. This strategy has also become part of the national climate change policy.</li> <li>• The National Adaptation Strategy can serve as the NAP. There is a need for technical assistance to revise the National Adaptation Strategy in the light of LEG guidelines for NAPs to ensure that all NAP elements are included in the strategy.</li> <li>• Ghana has a number of strategies and project proposals on adaptation, including community-based adaptation. However, there are challenges related to access to finance for implementation.</li> <li>• There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive.</li> <li>• Must move from TA and into implementation; 'plans' already exist.</li> <li>• There is also a need for enhancing inter-ministerial coordination of adaptation issues.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Grenada	<ul style="list-style-type: none"> <li>Grenada has initiated the NAP process with GIZ and BMU.</li> <li>And there is funding available by JICA for a regional project in the Caribbean to support the development of NAPs; SCCF project must ensure collaboration with ongoing efforts.</li> </ul>
Guatemala	<ul style="list-style-type: none"> <li>There is a National Council on Climate Change. This is chaired by the President. The President's Planning Office is responsible for the operation of the climate change law.</li> <li>The development of a national plan for adaptation and mitigation of climate change is currently in its early stages. This is being supported by GIZ. The national plan will identify legal and technical instruments for promoting adaptation, as well as collating scientific and technological information to guide the design of urgent and medium-term actions.</li> <li>The "K'atun '32" is the national development plan for 2032 that includes 5 cross-sectoral strategies for addressing climate change. There is a need to align the provisions of the K'atun '32 with the national climate change plan and climate change priorities. For example, one of the goals of K'atun '32 is the reduction of vulnerability. However, this is not quantified.</li> <li>There is a need to internalise and institutionalise adaptation measures within the government budgets.</li> <li>There is also a need to improve institutional capacities, particularly those are required for international cooperation agreements such as multi-lateral environmental agreements. However, present efforts are too fragmented and government institutions don't consolidate capacity building measures. The country is therefore in need of financial and technical assistance for organising society and building capacity.</li> </ul>
Honduras	<ul style="list-style-type: none"> <li>Both the Vision 2010-2038 and the National Plan 2010-2022 include objectives related to climate change mitigation and adaptation. Moreover, the Climate Change Law was enacted in 2014. Article 1 of this law details plans to coordinate ongoing actions for addressing climate change. The Directorate for Climate Change is the technical body for planning and implementing such actions.</li> <li>A National Climate Change Strategy had existed since 2010. This articulates adaptation strategies at all levels from municipality to national/sectoral level. Article 13 of the Climate Change Law stipulates that the strategy must be complemented by a National Adaptation and Mitigation Action Plan.</li> <li>Local-level stakeholders are not using planning tools for adaptation. There is a need for guidance on the integration of climate change into planning processes.</li> <li>There is also a particular need for capacity building related to adaptation priorities in key sectors such as coffee production, forestry, livestock and agriculture.</li> </ul>
Indonesia	<ul style="list-style-type: none"> <li>Support is needed in raising public awareness climate change and having the public engaged/buy-in to adaptation action in the country.</li> <li>Finance is also needed to implement existing adaptation plans/strategies.</li> </ul>
Jamaica	<ul style="list-style-type: none"> <li>The long-term Economic Development Plan Vision 2030 includes climate change adaptation as a key outcome. Furthermore, a Climate Change Policy Framework has been developed and is due to be ratified soon.</li> <li>This work is being complemented by ongoing sectoral planning for climate change adaptation under the Sectoral Adaptation Strategy and Action Plans based on inter alia vulnerability assessments conducted as part of the SNC. This</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<p>process will be completed in 2015 and will include identification of priority options for adaptation. However, there is a need for comprehensive national spatial planning to identify priority areas for adaptation. These sectoral adaptation plans will be merged together to form the basis of the NAP in Jamaica.</p> <ul style="list-style-type: none"> <li>• There is also a need for capacity development of focal points in key ministries to support them in identifying, planning for and prioritising projects to address the effects of climate change.</li> <li>• Access to financing for adaptation needs to become more efficient. Direct access to funding is more efficient than funding from multi-lateral partners owing to lower administration costs. Concessionary loans and trust funds for small grants will also improve access to financing, especially for small-scale/local-level needs. This will allow more on-the-ground interventions. There should consequently be more focus on South-South and other sources of funding that have fewer restrictions.</li> </ul>
Kenya	<ul style="list-style-type: none"> <li>• Kenya has a medium-term adaptation policy based on the Threshold 21 model. This can form the basis for continued development of the NAP process.</li> <li>• At present, it is difficult to separate adaptation from national development planning. These two must be fully integrated.</li> <li>• Coordination mechanisms can perhaps follow those of the National Communications.</li> <li>• Guidance is needed regarding the requirements and format of the NAP.</li> </ul>
Kyrgyzstan	<ul style="list-style-type: none"> <li>• Preliminary discussions have begun between UNDP and government. Kyrgyzstan is interested in receiving support from the project.</li> </ul>
Former Yugoslav Republic of Macedonia (FYROM)	<ul style="list-style-type: none"> <li>• Hydromet has experience in <b>developing climate models</b> and different scenarios. However, further technical assistance is needed on the application of such GIS and <b>climate risk information tools in planning and implementation</b>, particularly for the health, water and biodiversity sectors.</li> <li>• Technical assistance is needed on development of <b>costed, bankable projects for implementation as a priority</b>. In particular, loss and damage assessments as well as identification of climate opportunities – e.g. combining mitigation and adaptation interventions – and adaptation costs and benefits are priorities.</li> <li>• Support is also needed for <b>M&amp;E for adaptation strategies and policies</b>. This includes development of adaptation indicators. Institutional coordination mechanisms need to identify clear roles and responsibilities for M&amp;E.</li> <li>• There is a high-level strategy on adaptation, but this is <b>not adequately mainstreamed into sectoral planning</b>, especially for agriculture. There is a need for a complementary, bottom-up approach in each sector to integrate this properly with sector-specific adaptation priorities based on an adaptation needs assessment for each sector.</li> <li>• These strategies also need to be further developed into explicit action <b>plans for implementation</b>.</li> <li>• Identification of an NIE/RIE for <b>accessing adaptation funding</b> is a priority.</li> <li>• There is need to coordinate development of new proposals for implementation of adaptation priorities with ongoing initiatives. This requires a <b>strong institutional coordination mechanism between ministries and sectors</b> that will facilitate proper linkages for strengthened inter-sectoral planning. ToRs should be developed for legislating such an institution.</li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
Maldives	<ul style="list-style-type: none"> <li>Existing plans are expiring and new plans are in draft form. There are transitions in political administration which could lead to changes in priorities.</li> <li>The geographic layout of the Maldives, makes planning/implementation/M&amp;E challenging and costly</li> <li>While external support is appreciated, it often comes with additional reporting requirements and/or restrictions, which forces shifts in established SOP, making strengthening national technical/institutional capacity a challenge.</li> <li>Maldives only recently graduated from LDC status, and had not fully benefited from the LDCF to implement its NAP.</li> <li>Support is needed with access to finance, including training on innovative financial mechanism (i.e. PES).</li> <li>Technical support is also needed in the areas of a) climate scenarios described in IPCC reports; b) downscaling of global climate models to regional and local levels; and c) computational support for developing and maintaining country-specific climate scenarios and databases.</li> </ul>
Marshall Islands	<ul style="list-style-type: none"> <li>Marshall Islands has undertaken considerable national dialogue concerning climate change</li> <li>There is a need for soliciting views and interests from the public to ensure harmonisation of adaptation planning with existing systems and processes.</li> <li>Technical assistance is required, with assessments of climate change finance.</li> <li>Assistance is required with the development of a high-level coordination mechanism, such as that initiated through SPREP, as elected officials are not always aware of climate change and its implications for development planning.</li> <li>The Pacific Environment Forum could be a means of enhancing sub-regional dialogue and coordination.</li> </ul>
Mexico	<ul style="list-style-type: none"> <li>Mexico has enacted a general law on climate change in 2012, has a national policy on climate change, as well as a combined mitigation/adaptation strategy.</li> <li>National planning for adaptation is coordinated by the Council for Climate Change as well as the Inter-Secretarial Commission on Climate Change (which comprises all 14 Secretaries of State). The National Institute of Ecology and Climate Change provides technical input into adaptation planning.</li> <li>Focus on adaptation planning is being shifted towards state- and municipal-level programmes for climate change, based on state risk atlases and with an emphasis on translating planning into action.</li> <li>Mexico has identified 77 adaptation interventions that have been budgeted. Vulnerability mapping has proceeded, and includes hazard maps for drought, heat and flood risks. However, a more comprehensive diagnosis of the country's adaptation needs is required.</li> <li>A methodology provided by GIZ is being used to prioritise actions that reduce vulnerability, provide benefits and are economically viable.</li> </ul>
Mongolia	<ul style="list-style-type: none"> <li>Mongolia expressed concern in the (perceived) lack of flexibility of NAP process and noted that it has become an “extra plan” rather than being integrated/mainstreamed into existing plans.</li> <li>Guidance is needed on the NAP process, to better understand how it will enhance existing plans and efforts.</li> <li>Additional finance is needed to fully mainstream climate change into the planning process.</li> </ul>
Montenegro	<ul style="list-style-type: none"> <li>NAP support must build on prior efforts and experience (e.g. coordination mechanisms for National Communications).</li> </ul>



Countries and UNFCCC Party Groupings	Consultation Notes
Nauru	<ul style="list-style-type: none"> <li>• Nauru's JNAP is in the process of finalization. This will serve as a platform for the NAP process, or the NAP itself.</li> <li>• There is need for assistance with implementation of adaptation priorities outlined in the J-NAP, as well as M&amp;E of adaptation activities.</li> </ul>
Nicaragua	<ul style="list-style-type: none"> <li>• National development plans include environmental protection, adaptation and mitigation.</li> <li>• There is a national strategy for climate change. In addition, there are sectoral plans for the coastal, forest and water resources sectors.</li> <li>• Nicaragua has been successful in promoting private sector investment into renewable energy. This needs to be replicated for adaptation.</li> </ul>
Nigeria	<ul style="list-style-type: none"> <li>• Support is needed to implement priorities of existing adaptation strategies/plans, rather than support for a new planning process.</li> </ul>
Pakistan	<ul style="list-style-type: none"> <li>• Pakistan is working on CPEIR with support from UNDP, the Ministry of Finance is engaged. This is closely linked to the NAP process.</li> <li>• Additional support will be needed to eventually implement the CPEIR recommendations.</li> </ul>
Palau	<ul style="list-style-type: none"> <li>• Draft Climate Change Strategy to be completed in Dec. 2014, with support from SPC, EU, GIZ, USAID, AusAID, NZ Aid. This will be followed by a JNAP</li> <li>• There are a range of needs: <ul style="list-style-type: none"> <li>○ Sensitization of ministries;</li> <li>○ Inter-ministerial dialogue, especially on critical issues: coastal erosion, food security, role and needs of women in agriculture;</li> <li>○ Connecting tailored science to sectors and by geography (challenges in Northern part of countries differ significantly to Southern part); access to seasonal predications, tailored climate/weather information</li> <li>○ Implementation strategy/plan, including links to finance; and</li> <li>○ Raising public awareness of behaviour and climate change.</li> </ul> </li> </ul>
Panama	<ul style="list-style-type: none"> <li>• Panama has not yet started its NAP process, but expects to start in parallel with the TNC.</li> <li>• Needed are greater capacities in the relevant institutions, and funds for formulation activities.</li> </ul>
Philippines	<ul style="list-style-type: none"> <li>• Climate change must consider disaster risk reduction. The budget for construction comes from the national government and since only 5% is allocated for disaster preparedness, cities are unable to rebuild towards long term climate resilience.</li> <li>• Improved access to finance is needed.</li> </ul>
Samoa	<ul style="list-style-type: none"> <li>• Samoa is already making significant efforts to make country systems more robust in terms of monitoring and reporting climate change investments, stemming from recommendations from the PPCR (World Bank). Samoa has already completed a CPEIR and is now working on launching the NAP process under the recently approved LDCF project. It is expected that through these efforts, the capacities of sector coordinators are strengthened to measure integration and coordination of climate resilience.</li> <li>• The national monitoring and reporting framework will be developed based on the PPCR core indicators by end of 2014.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
Serbia	<ul style="list-style-type: none"> <li>• Sensitization of climate change and adaptation planning is needed for decision-makers. This results in various sectors not engaging in adaptation planning as it is not a political priority. For example, there is limited recognition of flooding as an adaptation concern.</li> <li>• Technical assistance is required on collection and application of climate risk information, particularly for floods, droughts and other extreme events.</li> <li>• No country has an NIE for accessing support from the Adaptation Fund. Creation of a RIE may be a better approach.</li> <li>• Implementation of adaptation interventions is a priority, access to finance is needed.</li> </ul>
South Africa	<ul style="list-style-type: none"> <li>• Assistance is needed on enhancing DRM and the functioning of EWS to promote adaptation.</li> <li>• There is a need for technical assistance on climate change projections as well as identification of potential options for adaptation interventions.</li> <li>• Technical assistance is required to package adaptation priorities as bankable projects. This also requires the development of an action plan to deliver the required interventions in a short period. Technical assistance is needed to identify packages of interventions and develop these into fine-scale adaptation plans. This should be done at different levels (national, provincial and local) and developed into bankable strategies to leverage funding</li> <li>• Further assistance is required concerning integration of climate change into critical sectors, especially: a) water; b) health; c) agriculture; d) rural development; and e) biodiversity. There is also need for assistance in integration of adaptation in other areas of national and local policies. In particular, local government is in need of additional capacity development.</li> </ul>
Sri Lanka	<ul style="list-style-type: none"> <li>• Support is needed in implementing and monitoring adaptation action, specifically finance for implementation and a more streamlined, comprehensive M&amp;E framework.</li> </ul>
Thailand	<ul style="list-style-type: none"> <li>• Thailand has initiated the process with the document, “Laying the Groundwork for Development a Thailand National Adaptation Plan. This details the activities and associated costs of needed assessments and analysis. Funding has been provided by national institutions with stocktaking support provided by GIZ.</li> <li>• Challenges raised include: <ul style="list-style-type: none"> <li>- it is important that the NAP roadmap keeps a realistic scope and realistic timeframe, rather than being too ambitious. Previous national assessments have proven too broad and therefore, difficult to implement; and leads to transparency and accountability issues</li> <li>- training is important but more important is to have strategies in place to ensure the right people are identified to be trained; and</li> <li>- when it comes to other sectors plans, ONEP or the national authority on CC should not impose plans on them; each ministry needs to own their plans; it has been very challenging to engage other sectors in CCA.</li> </ul> </li> <li>• It is likely that the Elements A (LEG Guidelines) will be completed soon. Support will be needed for Elements B and C of the NAP process, namely: national-level vulnerability mapping; prioritization of adaptation options in different sectors; and formulation of NAP roadmap.</li> </ul>
Trinidad and Tobago	<ul style="list-style-type: none"> <li>• Climate change strategies for the Trinidad and Tobago have been completed, including a national climate change policy. Implementation has also begun for various projects that address short- to medium-term adaptation concerns.</li> </ul>

Countries and UNFCCC Party Groupings	Consultation Notes
	<p>However, there is a need for application of vulnerability analyses to move towards more evidence-based planning and implementation. For example, software tools could be used to regulate more climate-resilient development planning.</p> <ul style="list-style-type: none"> <li>• There are moves towards including ecosystem services into the GDP, which could serve as a basis for enhanced action on climate change. Development planning is also starting to include climate change considerations more comprehensively.</li> <li>• A Ministerial Coordination Committee facilitates integration of climate change into national planning for sustainable development. However, there is need a strong institutional coordination mechanism for all actors (e.g. agencies, donors, government institutions) to coordinate technical assistance, data sharing and action.</li> <li>• Major constraints for medium- to long-term adaptation planning are limited data availability and few sectoral models for vulnerability and impact assessments. Consequently, technology transfer and capacity building is required for improved data collection and sharing.</li> </ul>
Turkmenistan	<ul style="list-style-type: none"> <li>• Discussions ongoing between UNDP and government to develop a SCCF project, including aspects to support the NAP process. Information collection and assessments regarding needs and challenges related to the NAP process are ongoing, and details will become more clear following these consultations.</li> </ul>
Uruguay	<ul style="list-style-type: none"> <li>• Uruguay is concluding the execution of the project “Implementing Pilot Climate Change Adaptation Measures in Coastal Areas of Uruguay” under the GEF Strategic Priority for Adaptation. Its objective is to put in place adaptive land planning and coastal management policies and practices to enhance the resilience of Uruguay’s coastal ecosystem to climate change. To achieve this, different adaptation measures were identified and are being implemented at different pilot sites. Such measures include scientific information and knowledge; awareness raising; monitoring systems; institutional building and management; and biophysics interventions (soft adaptation technologies).</li> <li>• The government is planning to build on the results and experiences of the SPA project to launch a Coastal NAP process that will contribute to replicate, scale up and sustain the adaptation measures implemented by the project to the whole coastal sector. Such coastal NAP would be of great relevance as being the first experience in the country and the basis for the elaboration of other sectorial NAPs.</li> <li>• In order to develop the Coastal NAP process it would be necessary to maintain and strengthen the institutional and technical capacities generated by the SPA project. And to identify and address information and knowledge gaps.</li> <li>• The Technical guidelines for the national adaptation plan process, developed by the LDCs Expert Group, will guide the Coastal NAP process. Thus, the NAP GSP could facilitate the exchange of experiences with the application of the guidelines by LDCs, through the organization of workshops. For example, it could also provide support: for the planning stage; to access funding for the implementation stage; and for the reporting, monitoring and review stage.</li> </ul>
Viet Nam	<ul style="list-style-type: none"> <li>• In Viet Nam, estimating costs of adaptation is a significant challenge, as is monitoring. Technical assistance is needed in costing adaptation and guidance/training to apply and access funds.</li> <li>• Greater engagement is needed with sub-national government for effective an NAP.</li> </ul>



Development Partners	Consultation Notes
EU	<ul style="list-style-type: none"> <li>• Considerable progress has been made on the provision of guidelines and training for the NAP process. However, there is a need for increased coherence in these guidelines to avoid duplication and confusion.</li> <li>• LDCs have been successful in establishing national coordination mechanisms and institutional arrangements to facilitate the NAP process.</li> <li>• The two GSPs on the NAP process need to collaborate and coordinate efforts to ensure efficiencies with existing efforts</li> <li>• EU is committed to support LDCs and non-LDCs.</li> </ul>
Japan	<ul style="list-style-type: none"> <li>• Through JICA, Japan is providing support through tools and methodologies for adaptation planning, particularly on the national systems for climate risk information.</li> <li>• Collaboration should be sought with JICA efforts in the area of adaptation technologies (linkages with Adaptation Committee's TEC).</li> </ul>
Norway	<ul style="list-style-type: none"> <li>• The NAP GSP should strengthen coherence and capacity building of national institutional arrangements. The should be reflected in technical guidelines on the NAP process.</li> <li>• All national planning process for adaptation need to be aligned to avoid duplication and fragmentation of adaptation planning and implementation. This requires strong coordination mechanisms and cross-sectoral approach.</li> <li>• There is no need to revise the current NAP guidelines. Instead there should be enhanced dialogue on the NAP process, the various elements of the NAP process, and gender considerations.</li> <li>• NAPs should be anchored in and informed by implementation of concrete, on-the-ground actions. This necessitates additional financing for NAP implementation.</li> <li>• Finance needed for non-LDCs for NAP implementation.</li> </ul>
SPREP	<ul style="list-style-type: none"> <li>• JNAPs will be the entry point for many countries in the Pacific</li> <li>• JNAPs, which merge CCA with DRM, have been completed in 7 countries, and 3 more are in draft form</li> <li>• Areas where NAP support can build on JNAPs: <ul style="list-style-type: none"> <li>○ Implementation plans – prioritizing, sequencing, and costing of activities;</li> <li>○ South-South peer training;</li> <li>○ Quantifying costs, true cost of adaptation;</li> <li>○ Climate models; and</li> <li>○ Ensuring readiness and enhance capacity to access finance.</li> </ul> </li> <li>• SPREP is committed to supporting PICs.</li> </ul>
US	<ul style="list-style-type: none"> <li>• There is a need to recognize common challenges and opportunities to bridge gaps between immediate and urgent needs vis-à-vis medium- to long-term adaptation needs. This will allow countries to identify entry points for enhanced planning and action on adaptation.</li> </ul>

## Annex 21: Risk Analysis

#	Description	Date Identified	Type <sup>68</sup>	Impact & Probability <sup>69</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Low predictability of finance for advancing the NAP process beyond the project duration	PPG	Financial, Political	P: 4 I: 5	<p>Many non-LDCs expressed concerns on access to – and dependence on – donor funding. The project will thus focus on supporting national planning and budgeting to integrate climate change, and engaging the private sector in adaptation activities.</p> <p><u>National planning and budgeting</u> Through inter-ministerial dialogue, the project will help sensitise planning and finance ministries to the need to integrate climate change into planning and budgeting, as a means of addressing development needs. Training on economic analysis will enable policy makers to make informed decisions in the face of scarcity of financial resources for adaptation.</p>	UNDP, UNEP	UNDP, UNEP	Oct 2014	

<sup>68</sup> Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

<sup>69</sup> Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Date Identified	Type <sup>68</sup>	Impact & Probability <sup>69</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					<p><u>Engaging the private sector</u>  Non-LDCs cover a broad range in terms of economic development and private sector potential. The project will pilot a platform for public-private partnership, which will link adaptation ideas with private sector investment. Best practices and lessons learned can lead to the replication of the platform in other countries.</p>				
2	Coordination with development partners on NAP-related support activities	PPG	Operational	P: 1 I: 3	This project alone cannot support the NAP process in all non-LDCs. However, consultations with development partners indicate that programmes are underway which indirectly support the NAP process by addressing challenges expressed by non-LDCs. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs.	UNDP, UNEP	UNDP, UNEP	Oct 2014	

#	Description	Date Identified	Type <sup>68</sup>	Impact & Probability <sup>69</sup>	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
3	Effective coordination at national level	PPG	Organizational	P: 3 I: 4	Embarking on a comprehensive NAP process requiring cross-sectoral collaboration, was seen as daunting by many countries. The project will facilitate this process in a number of non-LDCs by providing support towards developing a NAP roadmap, which will: i) define roles based on country consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation.	UNDP, UNEP	UNDP, UNEP	Oct 2014	



