



United Nations Development Programme
Country: Global
PROJECT DOCUMENT



Empowered lives.
Resilient nations.

Project Title:

Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

UNDP Strategic Plan Primary Outcome:

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*

Executing Entity/Implementing Partner: UNDP

Implementing Entity/Responsible Partners: UNDP

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Brief Description

Climate change and associated climate variability pose a challenge to achievement of poverty reduction in particular, and sustainable development goals in general in developing countries. That said, national and sectoral planning processes which provide a central means by which development priorities are formulated, budgeted and implemented have not included considerations of climate change risks and opportunities in a systematic manner. Consequently, the urgency is increasing 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-organized 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 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 promote medium- to long-term planning for climate change adaptation in developing countries. The focus of this project is on developing countries that are not classified as Least Developed Countries (LDCs) by the UN General Assembly. Building on a number of relevant national and subnational level initiatives, SCCF resources will be utilized to promote NAP processes in the targeted countries in manner that is country-driven, continuous and iterative, and participatory. In addition, resources will be used to ensure that associated national processes are 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.

Through a Global Support Programme, 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 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 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 climate change into medium- to long-term development frameworks.

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List of Acronyms

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
ASAP	Adaptation for Smallholder Agriculture Programme
BRH	(UNDP) Bangkok Regional Hub
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
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 Organization
GAN	Global Adaptation Network
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für International Zusammenarbeit
GDP	Gross Domestic Product
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
HNAP	health component of the National Adaptation Plan
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
MIC	Middle Income Country
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
SIDS	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 Organization
WRI	World Resources Institute

I. SITUATION ANALYSIS

National and sectoral planning processes in each country provides a central means by which development priorities are identified, formulated, budgeted and implemented. Given the likely adverse effects of climate change on development goals, especially those concerning poverty reduction, exclusion and inequality, countries have begun to recognize the need to integrate requirements for risk management into existing planning and budgeting processes in the hope of advancing integrated solutions. At present, however, these processes in many, if not all, developing countries¹ have not fully integrated climate change risks and opportunities in a comprehensive and sustained manner. Rather, efforts have been ad hoc and one-off, rather than systematic. The need to iteratively revisit and update development plans and budgets has not been addressed, while information, capacities and understanding of climate change impacts and adaptation improves and the development baseline changes over time.

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 LDCs² and non-LDCs³ to mainstream climate change into development planning. At the 17th Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant organizations 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.

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 processes⁴. In Warsaw, the COP-19 requested the GEF to further specify its progress in responding to the above request⁵. In response, at its 14th 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 from the United Nations Framework Convention on Climate Change (UNFCCC) COP*⁶. This SCCF-financed project, led by UNDP in partnership with UNEP⁷ is a response to these calls from the COP to the GEF to support countries in the preparation for the NAP process.

1.1. Climate Change-Induced Problem

Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. Increasing temperatures, changing rainfall 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 health⁸. Moreover, these climate change effects are predicted to become increasingly severe.

The impacts of climate change, including responses to extreme events and the economic losses of creeping changes, put a strain on limited national resources forcing shifts in national development priorities. Climate change impacts are projected to slow down economic growth, making poverty reduction more difficult and prolonging existing (and

¹ In this project document, this refers to developing countries which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

² Decision 1/CP.16 paragraph 15

³ Decision 1/CP.16 paragraph 16

⁴ Decision 9/CP.18, paragraph 1

⁵ Decision 6/CP.19

⁶ 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%20UNFCCC.pdf

⁷ There is a complementary UNEP Project Document that outlines its responsibilities in the context of supporting non-LDCs with their NAP process. UNDP and UNEP will be providing support to targeted countries in a coordinated manner but operationally implementing distinct projects. See section on management arrangements for further details.

⁸ 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.

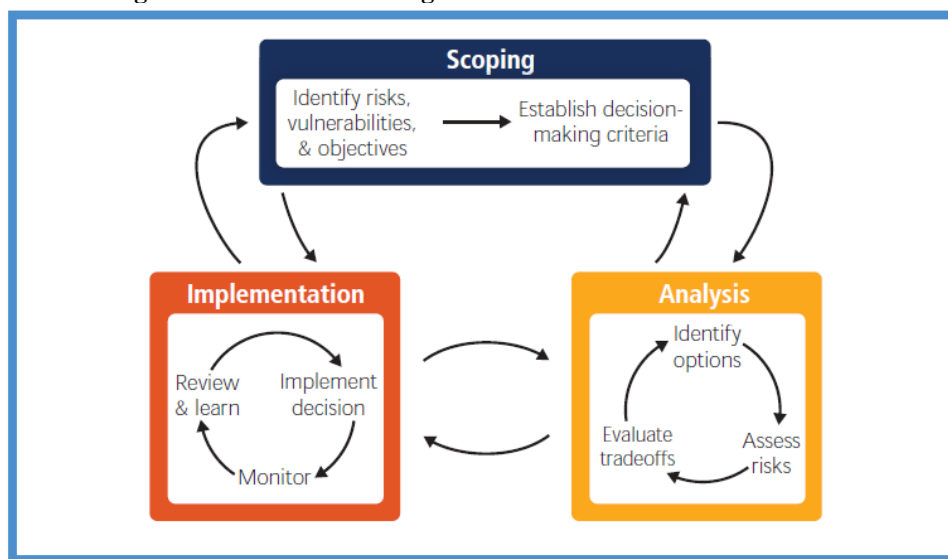
creating new) poverty traps⁹. The capacity of countries to manage the impacts of climate change will continue to be overwhelmed, likely reversing years of progress and achievements made on Millennium Development Goals (MDG)¹⁰.

This project focuses on developing countries, which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC. This includes middle income countries (MICs), which are not only challenged by the impacts of climate change, but are themselves contributors to global greenhouse gas emissions.

1.2. Long-term Solution

The overall objective of adaptation is to reduce vulnerability to the impacts of climate change by minimizing, reducing or avoiding risks as well as enhancing the capacity to adapt to climate change. Per the IPCC AR5, adaptation choices in the near term will affect the risks of climate change throughout the 21st century. The report suggests an iterative planning process to build climate resilience, as detailed in Figure 1 below.

Figure 1: Iterative Planning Process to Build Climate Resilience¹¹



This is consistent with decisions made by Parties to the UNFCCC, which suggest that in the long-term, countries will need to adopt a continuous, progressive and iterative process that allows for the identification and implementation of adaptation options as part and parcel of responses that advance development objectives at the national, sectoral and local levels. In this context, the National Adaptation Plan process (NAPs as it is commonly referred to within the UNFCCC) provides an opportunity to fully integrate climate change risk management into medium and long-term development planning, and by extension, budgeting.

At COP-17, Parties agreed that enhanced planning on adaptation should:

- Be a continuous, progressive and iterative process, the implementation of which should be based on nationally identified priorities, including those reflected in the relevant national documents, plans and

⁹ 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.

¹⁰ United Nations. 2007. *The Millennium Development Goals Report*.

¹¹ Source: IPCC AR5, Climate Change 2014: Impacts, Adaptation and Vulnerability (Figure SPM.3)

strategies, and coordinated with national sustainable development objectives, plans, policies and programmes.

- Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems;
- Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
- Not be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action.

1.3. Barriers to Achieving the Long Term Solution

The multi-faceted and complex nature of climate change requires its integration into medium- to long-term planning across sectors and levels of government in a coordinated manner. Many countries, however, lack the necessary institutional and/or technical capacity to effectively integrate climate change risks into planning due to limited financial and technical capacities. Consequently, the existing medium- to long-term planning processes generally do not: a) fully consider the multiple risks and stresses of climate change affecting human, social, physical, natural and financial capital; or b) apply adaptive management strategies to livelihood options and development plans given the complexity and uncertainty of climate change effects.

Consultations with countries during the preparatory phase of this project in 2014 highlighted several barriers to achieving the long-term solution, as follows:

Institutional Coordination Mechanisms

Integrating adaptation into medium- to long-term development planning requires an effective organizational and coordination framework that promotes cross-sectoral and national/sub-national coordination and cooperation between key institutions. The effectiveness of current coordination mechanisms differs across developing countries, but overall existing frameworks are not fit for purpose given the challenge of climate change on, and across, key sectors. In a number of countries, the mandate for addressing climate change often lies within their respective Ministry of Environment/Natural resources. Effective integration of climate change adaptation planning, however, requires a coordinated, “whole of government” approach among multiple ministries including key line ministries such as agriculture, water, energy as well as finance and planning. For example, integrating climate change adaptation into plans for the water sector will need to involve other sectors such as finance, planning, infrastructure, agriculture and health at both national and sub-national levels, given the impacts of climate-induced changes to water resources on each of these other sectors and their respective Ministries. Reduction of water resources is not only an issue for the Ministry of Environment, but it will also affect agriculture, it will affect energy production, it will have an impact on infrastructure and ultimately it will have an impact on budgeting, which is the purview of planning and finance ministries. The Ministry of Water Resources alone, therefore, would not be able to address this issue.

Technical Capacity for Adaptation Planning

Developing countries that are not classified as least developed have in general terms more capacity than those that are considered among the poorest in the world, but this group also has varying levels of technical capacity for adaptation planning in the medium to long-term. For many, this limited experience specific to including adaptation priorities within existing development planning and budgeting frameworks and policies, is the result of the absence of requisite technical capacity. In particular, countries are faced with a shortage of capacities 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 planning and budgeting with adaptation specific requirements. Technical capacity building, such as in skills to utilize available climate models and data to conduct relevant vulnerability analysis or undertake a cost-benefit analysis to identify efficient adaptation options from a suite of possibilities is needed. Such skills are required 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 challenged further by the inability to retain skilled staff in the public sector. 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 number 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 adaptation is considerable. In developing countries, over the period 2010 to 2050, necessary adaptation investments could average \$30 to \$100 billion a year. These figures can be compared to the roughly \$100 billion per year made available for broader development assistance¹². This funding gap is especially pronounced in non-LDCs, due to their limited options to access financial support for adaptation initiatives from existing international public sources.

Innovation is necessary to diversify sources of funding for adaptation and create new revenue streams. In this context, countries are now turning to examine what it would take to attract the larger volumes of international private sources of finance that is available, but which may not as yet be reaching their countries. In particular, countries are trying to better understand why it is that private financing, which is available and flowing from country to country, may be eluding them and rather going towards a select number of developed and the more advanced of the developing countries (e.g. China, India, Brazil, South Africa etc). Understanding and overcoming barriers to attracting private capital flows to support adaptation is therefore of paramount interest to many developing countries. Moreover, there is also interest to examine the feasibility of relying on innovative financial schemes (e.g. green bonds, municipal bonds etc) to raise the necessary capital as well as options for incentivizing private sector investment. At present, however, these areas have been underexplored in most developing countries.

Access to Information and Knowledge

A number of tried and tested tools, methods and guidelines are commonly used in some developed and developing countries for supporting decision-making that explicitly incorporate climate change concerns into development planning and budgeting. However, they are not made use of in many countries because they are either not readily available or widely known. Even if awareness was high, technical and policy orientated staff in various Ministries in developing countries may not have requisite technical skills to apply these tools, methods and guidelines. Consequently, relevant climate, economic, social, environmental and other information is not utilized to inform sector-specific adaptation plans across various sectors and levels of government in a manner that is cost-effective and socially appropriate.

Efforts to share knowledge, best practices and lessons learned through partnerships, platforms and outreach programmes are also limited among developing countries. Such an exchange of knowledge, best practices and lessons learned – particularly South-South and North-South exchanges – could greatly enhance country level efforts to advance their respective NAP process. Knowledge exchange is particularly critical for regions where 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 largely underutilized¹³. This is because existing platforms often include many countries that have a wide range of adaptation priorities. In trying to accommodate information from as many countries as possible, there is large amount of knowledge and information available on these platforms. However, there may be insufficient information on the specific topic of interest to adaptation practitioners from particular countries. Conversely, there may be too much information that is not of direct relevance to the adaptation practitioners. For example within REGATTA, Caribbean nations – which are mostly Small Island Developing States (SIDS) – have different adaptations priorities to mainland Latin America and would benefit from an information- and knowledge-sharing system that is tailored to their specific needs. Finally, information is underutilized because it is not appropriately packaged for, and disseminated to, target countries. To address this, tailored information for countries that have similar priorities, as well as systems to disseminate this information and share working knowledge, need to be developed within and across existing platforms.

¹² World Development Report 2010 (<http://siteresources.worldbank.org/INTWDRS/Resources/477365-1327504426766/8389626-1327510418796/Chapter-6.pdf>)

¹³ 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).

II. STRATEGY

In an effort to overcome the above-detailed barriers preventing the preferred solution from being implemented, the objective of SCCF project is **to strengthen institutional and technical capacities of government officials and decision-makers for iterative development of comprehensive NAPs in non-LDCs**. The project seeks to do this by:

- improving coordination mechanisms for medium- to long-term adaptation planning and budgeting through broad technical support as well as dedicated national support;
- 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 best practices and lessons learned related to the NAP process

The project strategy adheres to NAP guidance provided by the UNFCCC, and reflects the needs expressed by countries. At COP-17 (Durban), Parties established the NAP's objectives, namely: a) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and b) 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 appropriate¹⁴. To achieve this, countries expressed a need for additional support from a global support programme (GSP). In Durban, the modalities of support and financial arrangements were also decided upon. These typology of support include:

- technical guidelines for advancing a NAP process
- training activities relating to specific skill building that is required to integrate climate change into planning and budgeting
- regional exchanges of knowledge relevant to methods, tools, processes and other aspects of integrating climate into planning and budgeting
- syntheses of experience, good practices and lessons learned
- technical papers
- and technical advice

2.1. Project Rationale and Policy Conformity

2.1.1 Alignment with Global and Regional Frameworks

Under the UNFCCC, all signatories to the convention produce periodic National Communications (NCs) which report national greenhouse gas inventories and describe national activities to implement the Convention.

Through the preparation of NCs and Technology Needs Assessments (TNAs), countries 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. Coordination of cross-sectoral efforts for climate change adaptation, however, were not systematically considered. The SCCF-financed project will contribute towards supporting countries 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.

The **Hyogo Framework for Action (HFA) 2005-2015** is a 10-year plan with the overarching goal of substantially reducing disaster losses in lives and the social, economic and environmental assets of communities and countries by 2015. 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

¹⁴ FCCC/CP/20110/97/Add.1

natural disasters. Priorities for action include activities towards strengthening institutional mechanisms, inter-ministerial coordination, enhancements in data analysis to inform planning, financial risk-sharing mechanisms, and public-private partnerships – all of which will be supported by the SCCF project. Building on the achievements and gaps of the HFA, a new post 2015 framework for disaster risk reduction will be finalized in Sendai, Japan in March 2015 at the UN’s World Conference on Disaster Risk Reduction. The new post 2015 framework aims to achieve the substantial reduction of disaster losses, in lives and in the social, economic, and environmental assets of communities and countries through the prevention of risk creation, reduction of disaster risk and strengthening of resilience of persons, communities and countries.

In 2015, the global community will seek to adopt **Sustainable Development Goals (SDGs)**, building on the achievements of the **Millennium Development Goals (MDGs)** of the past decades. The SDGs are likely to include a target on adaptation. One of the objectives of the NAP process is to assist countries to reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience. By supporting countries to advance their NAP process, progress is also made towards the achievement of their development goals.

2.1.2 Alignment with Special Climate Change Fund (SCCF) Focal Area Objectives

The project has been designed to align with the revised SCCF results framework¹⁵, which captures the two objectives of the NAP process, as defined by the Conference of the Parties to the UNFCCC at its seventeenth session:

- (a) to reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience and
- (b) 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:

Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation

Objective 3: Integrate climate change adaptation into relevant policies, plans and associated processes.

2.2. Country Ownership: Country Eligibility and Country Drivenness

A country-driven approach is necessary to develop 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 targeted country including a) public sector processes for planning, budgeting, and financing development priorities; b) existing institutional and technical capacities at the national, sectoral and local level; and c) national investment as well as support already extended by bi- and multi-lateral initiatives, to enhance climate resilient development at the national, sectoral and local level.

This SCCF project is global in scope, but focuses on developing countries which are not LDCs under the list of Non-Annex 1 parties to the UNFCCC. Consultations with country representatives and development partners took place during the preparatory phase through a combination of one-to-one and group discussions on the back of UNFCCC-sanctioned events including Adaptation Committee meetings, in particular:

- SBSTA/SBI Sessions, Bonn, June 2014
- Sub-regional Workshop – Adaptation Measures and Projects, Mexico City, September 2014
- USAID-UNDP Adapt Asia-Pacific Third Annual Forum 2014, Siem Reap, September 2014
- NAP Task Force Meeting, Bonn, September 2014
- 6th Meeting of the Adaptation Committee, Bonn, September 2014

Further, existing networks and in-country missions were used to conduct additional consultations on country-specific needs, experiences and progress related to the NAP process. As a result, the project design benefits from feedback

¹⁵ GEF/LDCF.SCCF.17/05/Rev.01

collected from country representatives across multiple regions. Stakeholders consulted during the PPG phase are listed in Table 1 below.

Table 1: Country Consultations

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

Developing countries are at varying stages of the NAP process, as defined by the UNFCCC guidelines. However, common themes for challenges and needs emerged from consultations. These include the need to: a) enhance inter-ministerial dialogue and coordination; b) move from planning to implementation; c) improve guidance on the NAP process; and d) knowledge sharing and regional and south-south cooperation.

Enhancing Inter-ministerial Dialogue and Coordination

Some countries have developed NAP-relevant strategies/plans, but these are not always comprehensive enough to encompass the full extent of medium- to long-term adaptation priorities as per the UNFCCC guidelines. Support is needed to foster increased collaboration for bringing sectoral plans together under an overall national programme, and/or to adjust existing national planning process to take consideration of the longer term implications of climate change on key sectors.

Moving from Planning to Implementation

Many countries are confident that their existing national strategies and plans adequately integrate climate change, and were anxious to move from planning to implementation. Access to finance, however, was a concern raised in all consultations, as a critical challenge in implementation. Non-LDCs acknowledged their limited access to donor support and requested training which would help them secure the necessary financing through other means, such as public and private finance. This included cost-benefit analyses at project and sectoral levels and designing bankable projects to improve efficiency and effectiveness and therefore attractiveness of public funds available for supporting adaptation. They also requested support to learn about and identify innovative financial schemes from the private sector 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. In this context, putting in place impact assessment methods that are based on experimental or quasi-experimental design principles is considered necessary for countries to move towards M&E that can assist with monitoring, reporting, and verifying impacts of adaptation interventions.

Guidance on the NAP process

Guidance on the NAP process itself was requested by some countries, while stressing that the 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 their low emission development plans in line with their respect national approaches.

Knowledge Sharing

All those consulted expressed interest in learning about NAP-related experiences from other countries. Countries want to be able to learn from the lessons learned and best practices of others, especially from those with similar climates situations or with similar development challenges. Online resources, as well as regional/sub-regional workshops encouraging South-South and North-South cooperation, were presented by countries as means of sharing this information.

Annex B provides a more detailed account of country consultations, as well as consultations with development partners.

The design of this project also took into consideration 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. That project has a similar focus to this SCCF financed project except that the targeted countries are LDCs. Key insights from the ongoing support to include the following:

- Each country has its unique interpretation of what and how the NAP process applies in their country context. Many 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 on ways to improve coordination systems and approaches.
- Broadening the NAP process beyond environment ministries to integrate with planning and budgeting processes and national development strategies is a long-term process. It therefore involves a careful nurturing process by a one or two lead Ministries so that other line Ministries can become conversant with the key issues and find ways that work for them to integrate adaptation requirements into their planning processes given the local context
- 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.

Consultations with development partners highlighted ongoing support related to the NAP process. In a similar manner to the ongoing *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, this SCCF project will exercise a collaborative approach with development partners to support countries, maximizing the impact of combined resources and expertise. Linkages to a number of ongoing relevant programmes led by partner organizations is outlined below.

2.3. Design Principles and Strategic Considerations

The SCCF-financed project will result in benefits at the national, regional and global level through assisting targeted countries 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: a) generate multiple social, economic and environmental co-benefits; b) contribute to conservation and sustainable use of biodiversity, including species of global significance; and c) contribute to climate change mitigation^{16,17}. Enhancing medium- to long-term planning for

¹⁶ 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.

¹⁷ Eastern European countries are developing integrated adaptation and mitigation programmes.

climate change can achieve adaptation benefits for various sectors such as health, agriculture and water. This will contribute to sustainable development and will support poverty reduction and the ability of countries to make effective progress towards the SDGs, which are to become active in 2015.

2.3.1 Links to Baseline Initiatives

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 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. \$15 million 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.

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 \$13 million. 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, and Zambia.. The project, implemented by UNDP and FAO will achieve this goal through four main pillars: a) strengthening the institutional capacity of key ministries (Agriculture, Environment and Planning) and local government on NAPs; b) develop integrated roadmaps for agriculture sector NAPs; c) improve evidence-based results for NAPs using experimental design frameworks; d) conduct knowledge sharing and advocacy on NAPs. In overlapping programme countries, the proposed project will be coordinated with the BMUB project to avoid duplication of efforts, specifically in regard 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 sharing 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 the Green Climate Fund. \$8million of the total is counted as co-financing for this SCCF project.

The ongoing UNDP-implemented, *Japan-Caribbean Climate Change Partnership* project has a total budget of \$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 project 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. Through a regional approach, the project aims to attract and catalyze 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 proposed SCCF programme will build on these region-based activities for the achievement of outcomes 1 and 3. The total budget of US \$15million will be counted as co-financing for the SCCF project.

Table 2: Summary of Co-financing

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount (\$)
GEF Agency	UNDP	Grant	\$38,000,000
Total Co-financing			\$38,000,000

Outcome 2 and Output 3.1 of this project will be implemented UNEP. For information purposes, related co-financing is detailed below.

The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC, AAKNet) (UNEP) has a collective ongoing budget of \$800,000 which is counted as co-financing for UNEP-implemented components of this SCCF project. 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. 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. 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.

United Nations Institute for Training and Research’s (UNITAR’s) 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). \$3million is counted as co-financing for the UNEP-implemented components of this SCCF project for the period 2014-2017.

Additionally, this SCCF project will seek complementarity with several UNDP/UNEP projects, as well as partner initiatives. These initiatives include a focus on strengthening capacities to integrate climate change adaptation into medium- to long-term planning. Relevant projects include:

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, respectively. Together with the SCCF 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.

The *Capacity Building Programme on the Economics of Climate Change Adaptation (ECCA)*¹⁸ is a 3-year programme, comprised of a series of technical trainings interspersed with in-country applied work to enable trainees to master key economic concepts and tools for adaptation planning and decision-making. This is a key area of technical assistance required by countries, as per the UNFCCC's guidelines for countries on the National Adaptation Plan process. ECCA is a collaborative effort between UNDP, USAID Adapt Asia-Pacific, the Asian Development Bank (ADB), and the Global Water Partnership (GWP), in association with Yale University. The programme was launched in Asia, and following its success, has since been replicated in the Pacific region and in Africa, engaging additional partners - the Pacific Islands Forum Secretariat (PIFS), the Secretariat of the Pacific Regional Environment Programme (SPREP), the Secretariat of the Pacific Community (SPC), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmgH, the University of the South Pacific (USP), and the Centre for Environmental Economics and Policy in Africa (CEEPA). This initiative is closely linked to Component 1, as it supports countries to assess the costs and benefits of adaptation options to inform climate resilient and economically efficient planning.

The *Green Climate Fund (GCF) Readiness Programme* (UNEP and UNDP), with a total budget of €10million offers needs-oriented support to countries for accessing and using the GCF once it is fully operational. It is implemented by UNDP, UNEP, the World Resources Institute (WRI) and the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMUB). This programme will include: a) specific capacity building programmes in 6 target countries; b) the development of national project pipelines on the basis of existing and potential specific national plans and policies; and c) 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.

Further, 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's DTU Partnership's *Adaptation Mitigation Readiness Project (ADMIRE)* (2014-2016) provides 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 Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (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

¹⁸ <http://www.undp-alm.org/projects/ecca>

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 technical capacity building.

The UNEP Climate Technology Centre and Network (CTCN) 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. In particular, training packages and workshops for the application of adaptation technology will promote the transfer of this technology. Further, the CTCN will integrate NAP elements into its adaptation portfolio. The CTCN will then be available to countries as an additional support mechanism for advancing the NAP process.

The *UNEP LIVE*¹⁹ 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.

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)²⁰ established under the UNFCCC. Project implementation will be informed by decisions of the Adaptation Committee (AC). The project will engage with the AC under their mandate for supporting adaptation work programmes, in order to assist countries with the advancement of medium- to long-term planning for climate change. The SCCF project will also seek knowledge sharing through the Technical Executive Committee (TEC) of the AC, for case studies related to adaptation technologies.

Additionally the SCCF 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) provides tools with a thematic focus to support the LEG guidelines on the NAP process. The themes for these tools include: a) climatic information; b) mainstreaming; c) mandate/institutional capacities. The programme 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 is in the process of developing a country-level training tool that can be built upon when providing countries with support with their specific needs. The SCCF project will build on and promote the GIZ tools through Outcome 2.
- Food and Agriculture Organization (FAO)

¹⁹ <http://www.uneplive.org/>

²⁰ 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.

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 countries to undertake the NAP process and integrate appropriate knowledge into their NAPs. The SCCF project will work closely with the FAO to leverage this information, knowledge and technical expertise to promote medium- to long-term adaptation planning. 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.

- The Global Water Partnership (GWP)

GWP is implementing a number of programmes that support NAP processes relating to water (e.g. the *Strengthening technical skills in Africa to advance NAPs* programme). The SCCF project will build on these programmes through further technical capacity development within the water sector. Further, 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 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.

- The 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: a) 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; b) investments in natural infrastructure such as improved resilience of riparian areas; and c) 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 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. The SCCF-financed project will build upon this initiative to support countries to employ these tested tools and methods. The training package developed in Output 2.1 will include relevant training material on the application of C3D+ tools and methods. Further, the lessons learned and best practices of South-South and North-South collaborations developed during the first phase of C3D+ will be used to inform exchange of experiences and other South-South and North-South cooperation in the project.

- 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 project will promote this guidance as part of a cross-sectoral approach to the NAP process.

In addition to the Global Adaptation Network (GAN) initiatives the SCCF 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 Applied Geo Science and Technology Division (SOPAC) 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: a) Oceans and Islands Programme; b) Water and Sanitation Programme; and c) 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 Secretariat (CARICOM) promotes the achievement of a number of economic development goals. Among other objectives, the secretariat improves knowledge sharing in the Caribbean region. The *Regional Strategy for Achieving Development Resilience to Climate Change* and its *Implementation Plan* were endorsed by Heads of Government and provides the basis on which building resilience to climate change and variability is occurring regionally. The *Regional Strategy and Implementation Plan developed by the Caribbean Community Climate Change Centre (CCCCC)* through a regional consultative process provide a roadmap for action and delivery of the strategic elements and goals identified.
- Forum of Ministers of Latin America and the Caribbean is a forum that 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 RIOCC (Latin American and the Caribbean Spanish-speaking climate change offices network) was created under this Forum to coordinate and address jointly initiatives related to climate change in the region.
- 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.

2.3.1.1. Addressing a dynamic baseline scenario in the future

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).

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 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).

2.3.2. UNDP's 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 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 of over 150 projects totalling \$800 million, funded by the LDCF, the SCCF, the Adaptation Fund as well as bilateral donors.

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

2.4. Project Objective, Outcomes and Outputs/Activities

The objective of the project is **to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in non-LDCs**.

The capacity of countries to undertake iterative and comprehensive national adaptation planning in the medium- to long-term is constrained by various factors. These include *inter alia*: a) ineffective mechanisms for cross-sectoral communication; b) limited technical capacity to undertake the necessary economic assessments and apply the available information and toolkits to inform medium- to long-term planning; and c) limited access to knowledge and lessons learned on integrating climate change adaptation into medium- to long-term planning. The SCCF-financed project will support targeted countries to advance their NAP processes by strengthening institutional and technical capacities as well as increasing access to the sharing of 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)

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.

Co-financing amount for Outcome 1: US\$ 29,917,516
SCCF project grant requested: US\$ 1,388,889

Without SCCF funding (baseline)

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)²¹, 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 tools developed and tested by the above effort can be further applied to other countries and regions.

²¹ 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)

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 to:

- 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.

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 basis²². 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)²³ 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.

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.

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 *Japan-Caribbean Climate Change Partnership* project provides policy support and capacity building to ensure the continuous monitoring of the a) progress; b) productivity; c) feasibility and profitability (using cost-benefit analyses); and d) acceptability by 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.

²² 2012, LDC Expert Group, National Adaptation Plans – Technical guidelines for the national adaptation plan process, pg 14.

²³ 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.

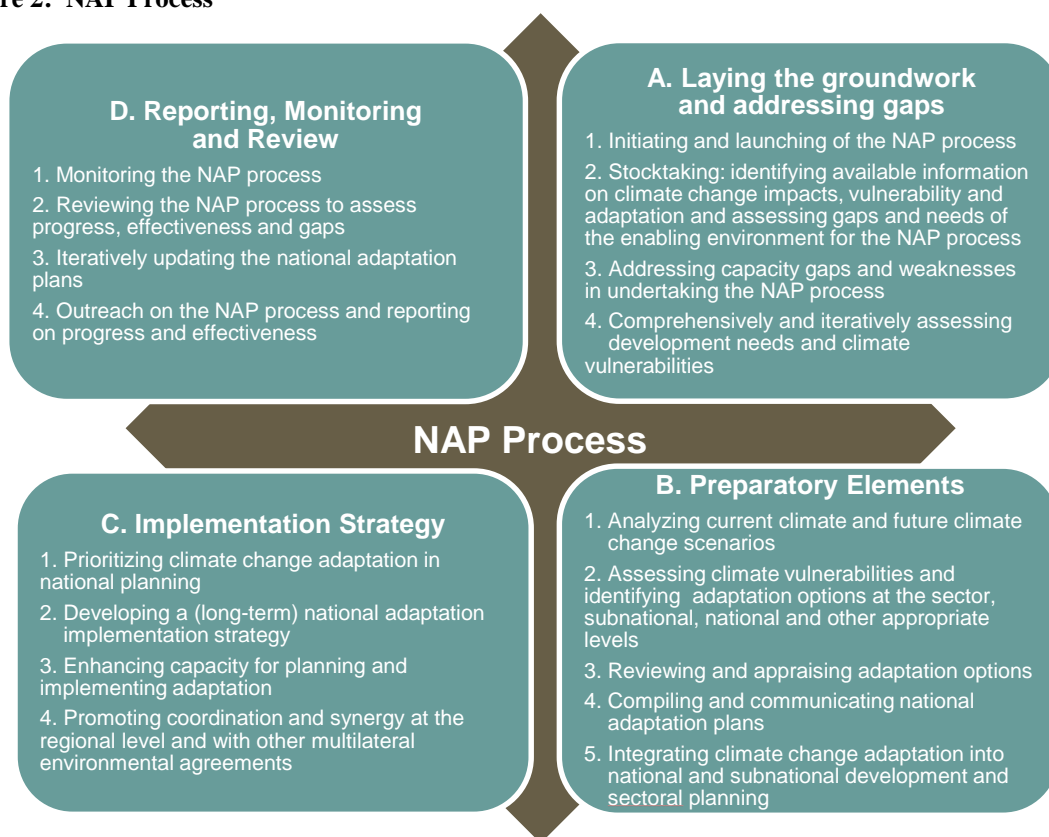
The successes of the above efforts can be complemented cost-effectively by expanding support to other regions.

With SCCF Funding (adaptation alternative)

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 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 action²⁴.

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. The NAP Process as suggested by the LEG is summarized in Figure 2.

Figure 2: NAP Process²⁵



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

²⁴ Decision 5/C p .17, paragraphs 3 and 4

²⁵ Guidelines for LDCs (LDC Expert Group, 2012)

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.

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 (e.g. the University of Peradeniya in Sri Lanka, University of South Pacific in Fiji, University of Pretoria in South Africa) and learning institutions (e.g. United Nations University (UNU)) to shape training materials, most of which are already available, into a 2-week course publicly available to government staff from any country. The 2-week course would be focused and tailored - aimed at providing 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. Partnerships will be established with other learning institutions in Latin America and the Caribbean, Arab States and other regions to ensure material is more easily accessible for countries in those regions.

SCCF funds will also 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 beyond the duration of the project. 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, 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.

Outputs and Indicative Activities

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 programme²⁶. 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.

²⁶ As stated above, developing countries, which are not least developed countries (LDCs) under the list of Non-Annex 1 parties to the UNFCCC.

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

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

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)

Component 2: Training on relevant tools, methods and guidelines to support effective climate planning (overseen by UNEP²⁷)

²⁷ Further details are outlined in the UNEP Project Document in Annex H.

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.

Co-financing amount for Outcome 2: US\$ 2,706,370²⁸
SCCF project grant requested: US\$ 1,896,992

Without SCCF funding (baseline)

At present, relevant public institutions in developing countries do not have sufficient technical knowledge to advance country-specific NAP processes. For example, planning ministries 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. The preparation of NCs has contributed to 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 guidance on reporting to the UNFCCC including on policies and measures for adaptation. The National Communication reports in many cases include information on priority measures using and designing national adaptation programmes for major sectors that are vulnerable to climate change. The ongoing National Communication support programme implemented by UNEP and UNDP provide support to countries to implement these reporting guidelines upon demand. However, there exist challenges to is little support to apply these guidelines tools within country-specific contexts mainly due to the lack of data, information needed to feed into the existing tools and methods and capacity to use them.

Sharing of knowledge and experiences among countries on the application of available guidelines within relevant geographies/regions, themes and sectors are limited. The guidelines are thus perceived as being broad and generic, with few countries having access to working examples of the application of the guidelines relevant to their particular socio-economic and environmental contexts.

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

- Lessons learned from LDCs on advancing their NAP processes²⁹ 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 result is limited application of toolkits for adaptation planning. There is consequently a need to review the relevant toolkits with a view to packaging them effectively to improve clarity and understanding.
- The application of the existing toolkits is further constrained by limited technical capacity of relevant institutions. Because of this, technical support on the application of the toolkits has been identified as a priority need.
- Many of the current toolkits are available only in a limited number of languages. This limits their ease of application.

As a result of *inter alia* the three factors described above, appropriate measures for adaptation are not included in national, sectoral and local policies and plans for the medium- to long-term.

UNEP has experience in supporting developing countries to reduce vulnerabilities and build resilience to climate change through *inter alia*: i) strengthening national institutional capacities for vulnerability assessment and adaptation planning; and ii) supporting national initiatives to integrate climate change adaptation measures into development planning and ecosystem management practices. The work of UNEP is guided by and aligned with the Nairobi Work Programme on Impacts, Vulnerability and Adaptation – a programme developed by the UNFCC to help countries understand and adapt to climate change.

Component 2 of the SCCF-financed project will build on the *Global Adaptation Network (GAN)* and its regional networks (APAN, REGATTA, WARN CC, AAKNet) and UNITAR's *One UN Climate Change Learning Partnership (UN CC:Learn)*, as well as collaborate closely with UNEP's *Programme of Research on Climate Change*

²⁸ Monitored by UNEP

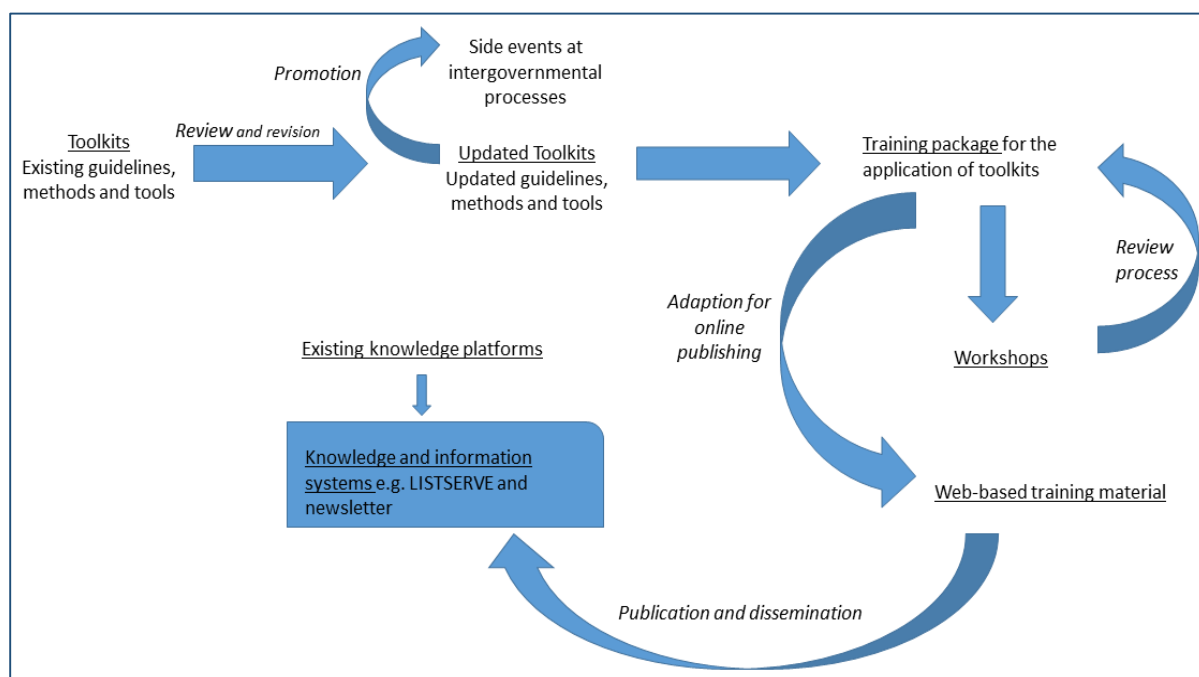
²⁹ Through, *inter alia*, the LDCF Global Support Programme on NAPs for LDCs.

Vulnerability, Impacts and Adaptation (PROVIA), UNEP’s Climate Technology Centre and Network (CTCN) and UNITAR’s Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation (C3D+ project).

With SCCF Intervention (adaptation alternative)

Under Component 2, support will be provided to countries 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: a) development and application of climate scenarios; b) vulnerability and risk assessments; c) cost-benefit analyses of adaptation interventions; d) CPEIRs; and e) financial costing of adaptation interventions. The project will enhance access to training and knowledge on the application of toolkits for the NAP process by: a) reviewing and updating the current available toolkits; b) promoting the use of the revised toolkits; c) developing a training package; and d) promoting knowledge sharing on the application of the toolkits across sectors. This will enhance capacity 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 organizations.

At the start of the project, the current suite of available toolkits for medium- to long-term adaptation planning will be reviewed to identify gaps in the themes relevant for non-LDCs and limitations in their availability and applicability. On the basis of this review, the existing toolkits will be updated. Where thematic gaps are identified, new toolkits will be developed. Additionally, toolkits will be translated into at least 6 languages³⁰ to promote their application.

The use of existing and new toolkits will be promoted³¹ 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

³⁰ Indicative languages include: English; Spanish; French; Russian; Arabic and Portuguese.

³¹ 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

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 a) the lessons learned on training from the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project; b) the technical support provided in Component 1; and c) 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. 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: a) climate-related risks e.g. sea-level rise (SLR), floods, cyclones, drought; b) the application of particular tools e.g. cost-benefit analyses, vulnerability and impact assessments; and c) sector-specific themes e.g. water, agriculture, health. Sub-regional exchanges will also be organized to focus on the application of the toolkits within countries with similar adaptation priorities.

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 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. 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.

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”.

- 2.2.2 Organise at least 10 sub-regional³² or thematic workshops on the application and use of tools, application of methods, and NAP guidelines³³ 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 countries 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)

Outcome 3: Exchange of lessons and knowledge through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process.

Co-financing amounts for Outcome 3 (UNEP): US\$ 730,340³⁴

Co-financing amount for Outcome 3 (UNDP): US\$ 4,133,638

SCCF project grant requested: US\$ 206,342 (UNEP)³⁵

SCCF project grant requested: US\$ 674,444 (UNDP)

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.

Responding to the concern related to access to finance, this component will also pilot a public-private platform in a small number of countries, to facilitate private sector investment in adaptation. Best practices and lessons learned will be disseminated to inform potential replication in other countries.

³² 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.

³³ These refer to all existing guidelines produced by organizations beyond LEG e.g. WHO and GIZ

³⁴ Implemented by UNEP

³⁵ Monitored by 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).

Without SCCF funding (baseline)

At present, developing countries 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 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. Where partnerships between governments and global/regional institutions, networks and platforms that promote such cooperation do exist, they either do not include knowledge and lessons learned pertaining to the NAP process or are underutilized.

Many of the existing institutions, networks and platforms are broad-based and include countries with a wide range of adaptation priorities. Consultations highlighted the need for 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.

The NAP Central³⁶ 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, including The Global Adaptation Network (GAN) and its regional networks (APAN, REGATTA, WARN CC AAKNet).

With SCCF Intervention (adaptation alternative)

Lessons learned from the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project 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 *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project. 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: a) lessons learned; b) practices on undertaking the NAP process; c) training materials for the toolkits developed in Output 2.3; and d) 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: a) share related experiences in undertaking the NAP process; b) coordinate adaptation interventions; c) map knowledge and identify gaps for future training and knowledge sharing; and d) 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. Further, the working groups established in Output 2.1 will operate through the communities of practice as more focused groups, particularly for the application

³⁶ http://unfccc.int/nap/guidelines_main.html

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.

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 resources³⁷.
- 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).

Without SCCF funding (baseline)

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.

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.

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. Access to finance for adaptation is a critical concern for non-LDCs. Identifying and 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 adaptation³⁸. 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.

Efforts to formalize 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

³⁷ 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"

³⁸ Landscapes of Climate Finance 2013, Climate Policy Initiative

Government, private sector, regional and international organizations. 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 NAP formulation and implementation in the Caribbean, there are opportunities for South-South Cooperation by further sharing this information to other regions.

Further, 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.³⁹ 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.

With SCCF Intervention (adaptation alternative)

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* project⁴⁰ 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, its building on the private sector analysis developed (for Thailand, Indonesia, Viet Nam, Mexico and Chile), as well as the experiences of the ICI project and the *Japan-Caribbean Climate Change Partnership project 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:

³⁹ http://www.lowemissiondevelopment.org/docs/Private_Sector_LEDs_and_NAMAs_r2.pdf

⁴⁰ <http://undp-alm.org/projects/naps-ldcs>

- 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

2.5. Key Indicators, Risks and Assumptions

2.5.1 Key Indicators

Key indicators to measure project progress are detailed below.

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. The below details the indicators which UNDP will monitor and report against. For information on UNEP-tracked indicators, please see the UNEP project document (Annex H).

Table 3: Key Indicators

Components	Outcomes	Indicators
Project objective: To strengthen institutional and technical capacities for iterative development of government officials and decision-makers comprehensive NAPs in non-LDCs		Number of countries with institutional arrangements for the NAP
Component 1: Institutional support to develop national-level roadmaps (Overseen by UNDP)	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.	Number of non-LDCs receiving tailored support to advance their NAP
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP)	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	Effective uptake of lessons and best practices shared across North-South and South-South countries

2.5.2 Risks and Risk Mitigation Measures

Risks and risk mitigation measures were identified during the project development phase, and have been summarized below. Please see Annex A for more details.

Table 4: Risks and Mitigation Measures

Key Risks	Level	Risk Mitigation Measures
Low predictability of finance for advancing the NAP process in non-LDC will jeopardize the sustainability of some of the project's outputs	H	Partnerships with bi-laterals, private sector, and other entities will be actively promoted and sought during the project implementation
Coordination with development partners on NAP-related support activities	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 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.
Effective coordination at national level	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.

2.6. Cost-effectiveness

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.

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.

2.7. Sustainability

The design of the SCCF-financed project emphasizes sustainability. 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 countries.

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 universities and/or international learning institutions (e.g. University of Peradeniya in Sri Lanka and UNU). This will ensure that the training is available beyond the duration of the project, supporting decision-makers to make economically-efficient and sustainable 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 countries 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 duration 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 countries through South-South and North-South cooperation. This will support long-term technical capacity to undertake adaptation planning. This knowledge acquired through these networks will enhance the technical capacity to undertake adaptation planning beyond the duration of the project.

2.8. Responsiveness to Gender-specific Challenges

Comprehensive consideration of gender issues is a prerequisite for sustainable development. The SCCF project mainstreams gender considerations through the approaches described below:

- Seek gender-balance and engagement of Ministry of Women (or similar ministry 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 group, 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.

2.9. Replicability

Technical capacity building in countries will promote replication and up-scaling of activities related to the NAP process. Firstly, government line ministries 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. The result is improved accessibility and usability of toolkits for the NAP process – including the development of supplementary online training material – which will promote the replication of activities for the NAP process. 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. Finally, improved mechanisms for sharing knowledge and lessons learned will promote the replication of NAP related activities.

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.

2.10. Stakeholder Involvement Plan

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. 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 5: Relevant partners and stakeholders identified for engagement by project outcome/output

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
<p>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.</p>	<p>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</p>	<p>UNDP</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>Output 1.2 Technical assistance provided to countries to strengthen/establish appropriate institutional, coordination and financial arrangements to support NAP process</p>	<p>UNDP</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>Output 1.3 National support provided towards developing NAP roadmap and advancing the NAP process, including elements for monitoring the</p>	<p>UNDP</p>	<p>FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, bilateral/multilateral organizations, national planning</p>	<p>Hold stakeholder consultations to draft and finalize country-specific NAP guidance documents.</p> <p>Formulate NAP roadmaps, including</p>

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	progress of their implementation.		ministries, line ministries,	requirements for reporting (in line with LEG technical guidelines in local contexts).
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.	UNEP	IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, international CSOs, national planning ministries, line ministries	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.
	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.	UNEP	IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries.	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.
	Output 2.3 Web-based training materials developed on the application of tools, methods and guidelines as non-LDCs commence their respective NAP processes.	UNEP	IFAD, FAO, WHO, GIZ, UNITAR, bilateral/multilateral organizations, 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.
Outcome 3. Exchange of lessons and knowledge 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).	UNEP	UNDP, IFAD, FAO, WHO, UNITAR, bilateral/multilateral organizations, national planning ministries, line ministries, global and regional knowledge platforms.	Establish NAP knowledge and information systems. Establish/build upon and participate in existing communities of practice. Promote thematic discussions through existing networks by identifying topics for discussion and appointing facilitators. Synthesize information from discussions, and share this information through the

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
				established/enhanced knowledge and information systems.
	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).	UNDP	UNEP, bilateral/multilateral organizations, national counterparts, ALM, Chambers of Commerce and private sector.	Develop materials with good practices and case studies for dissemination. Conduct outreach activities with the private sector for involvement in the NAP process. Collect and disseminate knowledge and information from piloted activities.

2.11. Compliance with UNDP Safeguards Policies

This project is ranked as “Low risk” under UNDP Safeguards Policies. Please see Annex C for more details.

III. PROJECT RESULTS FRAMEWORK⁴¹

Components	Outcomes	Indicator	Baseline	Mid-term Target	End-of-Project Target	Source of Verification	Risks/ Assumptions
Project objective: strengthen institutional and technical capacities for government officials and decision-makers 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 weak institutional planning processes as a result adaptation in most non-LDCs is not integrated into national development planning and sectoral planning processes.</p>	10	At least 20 countries have been supported to develop institutional arrangements for the NAP	UNDP Capacity Assessment Scorecard	Effective coordination at national level
Component 1: Institutional support to develop national-level roadmaps	Outcome 1: Non-LDC developing countries are capacitated to advance medium to long-term adaptation	Number of non-LDCs receiving tailored support to advance their NAP	Non-LDCs are at various stages in the NAP Process and require different support to further advance. Outcome 1 is structured	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, Trainings and training materials disseminated	Coordination with development partners on NAP-related support activities

⁴¹ Please also see Annex F: LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT)

Components	Outcomes	Indicator	Baseline	Mid-term Target	End-of-Project Target	Source of Verification	Risks/ Assumptions
(Overseen by UNDP).	planning processes in the context of their national development strategies and budgets.		in a way that technical support can be tailored and delivered separately or combined.				
Component 3: Knowledge Dissemination to Enhance International and Regional Cooperation (Overseen by UNEP and UNDP).	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.	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 and uptake of lessons 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 in non-LDC will jeopardize the sustainability of some of the project's outputs

IV. TOTAL BUDGET AND WORKPLAN

Award ID:	00085059	Project ID(s):	00092821
Award Title:	Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)		
Business Unit:	UNDP1		
Project Title:	Global: Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)		
PIMS no.	5347		
Implementing Partner (Executing Agency)	UNDP ⁴²		

SOF (e.g. GEF) Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD) ⁴³	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
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	UNDP	62180	SCCF	71200	International Consultants	150,000	120,000	110,000	380,000	a
				71300	Local Consultants	50,000	50,000	50,000	150,000	b
				71600	Travel	45,000	45,000	45,000	135,000	c
				74200	Audio visual and Print Prod Cost	6,000	6,000	6,889	18,889	d
				72100	Contractual Services – Companies	100,000	100,000	100,000	300,000	e
				61300	Salaries – IP Staff	135,000	135,000	135,000	405,000	f
					sub-total UNDP	486,000	456,000	446,889	1,388,889	
				Total Outcome 1	486,000	456,000	446,889	1,388,889		
OUTCOME 3: Exchange of lessons and knowledge through South-South and North-South cooperation to enhance international and regional cooperation to formulate and advance NAP process	UNDP	62180	SCCF	61300	Salaries – IP Staff	79,000	79,000	79,000	237,000	f
				71200	International Consultants	65,000	60,000	30,000	155,000	g
				71200	International Consultants	0	30,000	30,000	60,000	h
				71300	Local Consultants	0	15,000	15,000	30,000	i
				71600	Travel	18,000	18,000	18,000	54,000	j
				71200	International Consultants	27,000	27,000	27,000	81,000	k
				71600	Travel	5,000	8,000	5,000	18,000	l

⁴² Please see UNEP project document for budget details of UNEP-implemented outcomes/outputs

⁴³ Please see Annex F for Year 1 Procurement Plan

SOF (e.g. GEF) Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD) ⁴³	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
				74200	Audio visual and Print Prod Cost	9,444	15,000	15,000	39,444	m
					UNDP sub-total	203,444	252,000	219,000	674,444	
					Total Outcome 3	203,444	252,000	219,000	674,444	
PROJECT MANAGEMENT UNIT	UNDP	62180	SCCF	61300	Salaries – IP Staff	10,000	10,000	10,000	30,000	f
				71300	Local Consultants	30,000	35,000	35,000	100,000	n
				73100	Rental and maintenance-premise	7,500	10,000	10,000	27,500	o
				74500	Direct Project Costs	7,222	7,222	7,223	21,667	p
				74100	Professional Services	2,500	2,500	2,500	7,500	q
					Total PMU	57,222	64,722	64,723	186,667	
PROJECT TOTAL						746,666	772,722	730,612	2,250,000	

Table 7: Summary of Funds ⁴⁴

	Amount Year 1	Amount Year 2	Amount Year 3	Total
SCCF (UNDP-implemented)	746,666	772,722	730,612	2,250,000
UNDP	21,000,000	8,000,000	9,000,000	38,000,000
TOTAL	21,746,666	8,772,722	9,730,612	40,250,000

Budget Note	Description of Cost Item
a.	Expertise (UNDP roster) to support on country NAP stocktaking and specialized training. Please refer to Annex D for more details.
b.	Local technical expertise for ongoing support in developing NAP roadmap
c.	Travel related to in-country consultations and training
d.	Audio/visual, training materials

⁴⁴ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

Budget Note	Description of Cost Item
e.	Establish economics programme in local universities and/or UNU, approx. \$100,000/year
f.	Lead Technical Specialist – P4 proforma (Bangkok) \$224K/year split across outcomes
g.	\$5000 desk review, \$15K in country assessment and consultation 4 countries, including exploration of non-grant de-risking mechanisms (loan guarantee). If feasible, , IT design standard platform \$50K, \$10K collection of data/populate platform 4 countries - target 4 countries; best practices/lessons learned collected and disseminated by Comms consultant
h.	Expertise to further support countries on non-grant de-risking mechanisms, documentation of process and lessons learned
i.	platform maintenance local consultant (if applicable)
j.	Travel for in-country consultations related to public-private platform
k.	Communications consultant (NAP case studies), \$300*90 days/year
l.	Travel for Comms, to collect case studies; travel for countries to share their experiences at events
m.	Communication materials, video equip rental, editing, etc.; lessons learned/best practices NAPs case studies
n.	Hiring local consultant / project assistant for logistical support, workshops/travel
o.	Rent and general operating expense (GOE), estimated at \$27,500 for 3 years. Budgeted for up to 2 staff.
p.	<p>Direct Project Services (DPS) is estimated based on operational and administrative support activities to be carried out by UNDP APRC. Estimated breakdown is as follows:</p> <ul style="list-style-type: none"> • Recruitment of project personnel <ul style="list-style-type: none"> ○ Recruitment of project staff (P4)- \$788 per staff (recruitment package, admin management & payroll) for 3 years ○ Staff recurring cost for 3 years 544*3 = 1,633 ○ Recruitment of IC - \$301 per IC contract in 3 years 301*27 = \$8,127 (recruitment and initial costs, approx.10 consultants /year) ○ IC recurring cost for 3 years 43*189 = 8,127 (based on 7 payments / year / consultant) <p>\$41/travel payment for project staff/consultant – 63 times (1 travel / year / consultant, 12 travel / year / staff) = \$ 2,583 Total DPC = 21,258 + misc \$409 = 21,667</p>
q	Annual audit cost 2,500/year = 7,500

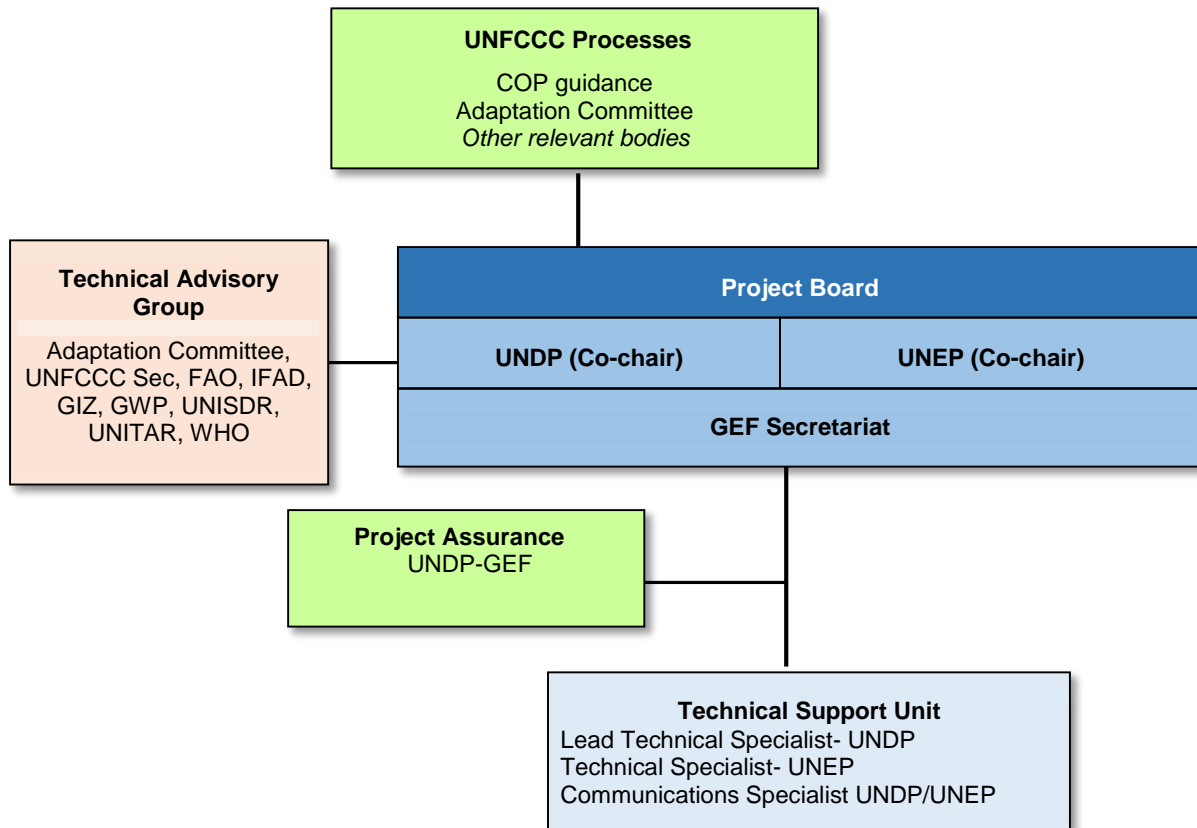
V. MANAGEMENT ARRANGEMENTS

At a global level, the initiative on *Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)* is overseen by UNDP and UNEP as GEF Implementing Agencies (IAs). However, there are two distinct project documents that outline what each agency will be responsible for within the framework of a common logical framework. This below outlines arrangements governing Outcome 1 and Output 3.2 which are implemented by UNDP. Please see Annex H for details pertaining to UNEP-implemented components.

The project will be implemented under UNDP’s Direct Implementation Modality (DIM). UNDP-Bangkok Regional Hub (BRH) has agreed to function as a responsible party. UNDP-BRH will be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, organization of regional and national workshops. Related costs of UNDP-BRH services will be borne from the Project Management Cost budget.

UNDP-GEF will delegate spending authority to the BRH, the budget will be set up by UNDP-GEF under B0441 BRH B-dept. UNDP-GEF will approve the budget, and UNDP-BRH can spend within the approved spending limits established by UNDP-GEF. The project will be overseen by the UNDP-GEF Task Manager while day-to-day management will be undertaken by the Lead Technical Specialist of the project.

Figure 4: Project Operational Structure



Project Board

There will be a Project Board (PB) for the UNDP-implemented project (and this will be same Board for the UNEP-implemented project). The 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, within the margins of UNFCCC events and/or LEG events and/or virtually, and consist of:

- One representative from UNDP (Co-chair): Global Principal Technical Advisor- Climate Change Adaptation
- One representative from UNEP (Co-chair): Head, Climate Change Adaptation Programme (Global)
- One representative from the GEF-SCCF Secretariat: Head, Climate Change Adaptation, Climate and Chemicals Team

Other relevant stakeholders may participate in meetings as observers as needed, or upon approval by the Board, as Board members. The PB will review progress towards project implementation at regular intervals (but 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 Technical Support 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: a) 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; b) arbitrate significant conflicts within the project; and c) negotiate a solution to major problems that may arise between the project and external bodies. In order to ensure ultimate 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).

Responsible Parties

Other organizations involved in this initiative as Responsible Parties and/or collaborative partners will be engaged to implement activities and deliver outputs that are under their mandate in accordance with the Stakeholder Involvement Plan, which will be finalized in the project's inception phase and aligned with the project's first annual work plan. Responsible Parties will assume responsibility for the delivery of project Outputs, under the direction of the TSU and based on agreed Terms of Reference. The TSU will facilitate the selection of an appropriate Responsible Party for the relevant Outputs and Outcomes

Technical Support Unit (TSU): 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:

- a) Lead Technical Specialist – UNDP
- b) Technical Specialist – UNEP
- c) Communications Specialist – UNDP/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 E.

Project Assurance

UNDP-GEF will provide financial and technical oversight services for UNDP-implemented outcomes and outputs of the project. UNDP will ensure that project monitoring and evaluation run according to an agreed schedule, and in line with UNDP and GEF requirements. This is further described in Section 6 below. Similarly, UNEP will provide technical oversight services for the UNEP-implemented outcomes and outputs of the project, including management of its financial resources and tracking of indicators.

VI. MONITORING FRAMEWORK AND EVALUATION

The UNDP-implemented parts of the project will be monitored through the following M& E activities. The M&E budget is provided in the table below. The M&E framework set out in the Project Results Framework of this project document is aligned with the AMAT and UNDP M&E frameworks.

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 organization structure, UNDP country office and where appropriate/feasible regional technical policy and program advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The **Inception Workshop** should address a number of key issues including:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP-GEF 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 LDCF/SCCF AMAT set out in the Project Results Framework of this project document, finalize 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, monitoring and evaluation (M&E) requirements including roles and responsibilities for different M&E functions. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, including UNDP budget reviews and mandatory budget revision / rephrasing, and arrangements of necessary audits.
- Plan and schedule PB meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first PB 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 formalize various agreements and plans decided during the meeting.

Quarterly

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP-GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs will be used to monitor issues, lessons learned. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Annually

Annual Project Review/Project Implementation Reports (APR/PIR): This key report 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 both UNDP and GEF reporting requirements. The APR/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).
- Lesson learned/good practice.
- AWP and other expenditure reports

- Risk and adaptive management
- ATLAS QPR

Mid-term of Project Cycle

The project will undergo an independent Mid-Term Review at the mid-point of project implementation, as deemed most appropriate. The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It 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 organization, terms of reference and timing of the mid-term review will be decided after consultation between the parties to the project document. The LDFC/SCCF AMAT as set out in the Project Results Framework in Section III of this project document) will also be completed during the mid-term evaluation cycle. A single MTR may be managed jointly by the UNEP and UNDP Task Managers, otherwise two separate MTRs may also be carried out. The Terms of Reference for this Mid-term review will be prepared by UNDP and UNEP, as appropriate.

End of Project

An independent Terminal Evaluation will take place three months prior to the final PB meeting and will be undertaken in accordance with UNDP-GEF guidance. The terminal evaluation will focus on the delivery of the project’s results as initially planned (and as corrected after the mid-term review, if any such correction took place). The terminal evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The LDFC/SCCF AMAT as set out in the Project Results Framework of this project document) will also be completed during the terminal evaluation cycle. The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response, which should be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC). A single MTR may be managed jointly by the UNEP and UNDP Task Managers, otherwise two separate MTRs may also be carried out. The Terms of Reference for this Mid-term review will be prepared by UNDP and UNEP, as appropriate

Audit

Project will be audited in accordance with UNDP Financial Regulations and Rules and applicable audit policies.

Table 6: M&E Workplan and Budget

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"> • Lead Technical Specialist • Project team 	8,000	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> • Lead Technical Specialist will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members. 	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"> • Oversight by Lead Technical Specialist • Project team 	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"> • Lead Technical Specialist and team • UNDP and UNEP 	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> • Lead Technical Specialist and team 	None	Quarterly

Mid-term evaluation	<ul style="list-style-type: none"> • Lead Technical Specialist and team, • UNDP and UNEP • External Consultants (mixed local/int. team) 	30,000 ⁴⁵	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> • Lead Technical Specialist and team, • UNDP and UNEP • External Consultants (mixed local/int. team) 	22,000 ⁴⁶	At least three months before the end of project implementation
Audit	<ul style="list-style-type: none"> • UNDP 	Indicative cost per year: US\$2,500	Yearly budget for UNDP only
TOTAL Indicative Cost		67,500	

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 through lessons learned. The project will identify, analyze, 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: Full compliance is required with UNDP’s Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>. Full compliance is also required with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). The GEF Guidelines can be accessed at: http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf.

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.

VII. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective

⁴⁵ 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.

⁴⁶ 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.

signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof.

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VIII. ANNEXES

Annex A: Risk Analysis

#	Description	Date Identified	Type ⁴⁷	Impact & Probability ⁴⁸	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Low predictability of finance for advancing the NAP process in non-LDC will jeopardize the sustainability of some of the project's outputs	PPG	Financial, Political	P: 4 I: 5	Partnerships with bi-laterals, private sector, and other entities will be actively promoted and sought during the project implementation	UNDP, UNEP	UNDP, UNEP	Oct 2014	
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	
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	UNDP, UNEP	UNDP, UNEP	Oct 2014	

⁴⁷ Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

⁴⁸ Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Date Identified	Type ⁴⁷	Impact & Probability ⁴⁸	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					timeline for the NAP process: iii) indicate support; and iv) include elements for monitoring the progress of implementation.				

Annex B: Stakeholder Consultations

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
- 6th 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 below do not constitute a thorough stocktaking for selection of target countries, but rather a means of collecting information to refine the design of the SCCF project (during PPG). Notes and highlights from consultations are captured below.

For Component 1, target countries will be selected during the first part of project implementation, 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.

Countries	Consultation Notes
Armenia	<ul style="list-style-type: none"> • Armenia has a number of strategies/plans for adaptation. However, there are differences between maturity of these plans. Most planning is presently focused on short-term adaptation priorities. • 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. • 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. • 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. • 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. • 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.

Countries	Consultation Notes
	<ul style="list-style-type: none"> • 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. • 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. • 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. • 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. • A preferred approach would be to arrange for short-term specialists to visit countries to attend national or sub-regional 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. • 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. • 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. • 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. • 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.
Belize	<ul style="list-style-type: none"> • 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. • 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. • 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. • 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.

Countries	Consultation Notes
	<ul style="list-style-type: none"> • Challenges that constrain adaptation to climate change include: <ul style="list-style-type: none"> ○ limited financial and technical resources; ○ little demonstration and adoption of climate-resilient techniques; ○ poor levels of awareness and education; ○ uncertainties concerning the negotiation processes; and ○ capacity building.
Bolivia	<ul style="list-style-type: none"> • Taking stock of and revising guidelines for the NAP process must not happen too early, as this will result in “shifting goalposts” • 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. • 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. • Need to link to financing (e.g. GCF), with an aim towards reducing vulnerability
Brazil	<ul style="list-style-type: none"> • Brazil is advanced in its NAP work, and would be interested to learn of opportunities to related provide South-South support • Also appreciated however would be opportunities to partake in technical trainings
Cook Islands	<ul style="list-style-type: none"> • 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 • 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 • Technical assistance is required, particularly concerning economic and social costing of projected impacts of climate change and development of costed/budgeted implementation priorities
Colombia	<ul style="list-style-type: none"> • Introductory discussions - interested in learning more about the SCCF project once operational and support available
Costa Rica	<ul style="list-style-type: none"> • 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). • 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.). • 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. • Technical assistance is needed through on-site and electronic media, as well as financial support.

Countries	Consultation Notes
Cuba	<ul style="list-style-type: none"> • 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. • 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. • The principles that must underlie all adaptation priorities are cost-benefit analyses and proven benefits of adaptation actions. • 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. • 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.
Dominican Republic	<ul style="list-style-type: none"> • The National Development Strategy includes considerations for climate change. However, these considerations are not currently actionable. • 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. • There is a need for development of project proposals. This requires support and training on conducting cost-benefit analyses. • A national coordination mechanism has been instituted, but requires strengthening to effectively manage inter-sectoral collaboration.
Ecuador	<ul style="list-style-type: none"> • Ecuador is currently developing a joint strategy for adaptation and mitigation. This is in process and not yet finalized. • Inter-ministerial coordination is not optimal. There is an inter-ministerial commission on climate change but it is not effective. • Ecuador is interested in building technical capacities for vulnerability assessments for different sectors and development of adaptation strategies based on such analyses. • Guidance and training must be adjusted to the reality in the region, not a standard training product • There are strong technical capacities in many sectors, however, it is not clear how to integrate those capacities for adaptation planning. • There is a policy and regulatory framework on climate change under development, but enforcement is challenging. • 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. • 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.
El Salvador	<ul style="list-style-type: none"> • 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. • 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.

Countries	Consultation Notes
	<ul style="list-style-type: none"> • 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. • El Salvador is considering possibilities for establishment of a Green Fund to finance adaptation interventions. • 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"> I. Development of tools and models to prioritize local and sectoral adaptation strategies. <ul style="list-style-type: none"> • Development of models to assess impacts on agriculture, water resources, infrastructure and health. • Capacity development on risk management at the local level. • Development of a national information system to systematize local climate risks. • Local governance and management models. II. Establishment and strengthening of the institutional landscape for climate change. <ul style="list-style-type: none"> • Design of institutional landscape • Design of financial landscape III. Mainstreaming of climate change in public policies. <ul style="list-style-type: none"> • Mainstreaming of climate change in public policies and plans • Integration of climate change criteria in the planning and budgetary processes IV. National Adaptation Plan development <ul style="list-style-type: none"> • Identification mid and long-term adaptation needs. • Integration of adaptation in the national policy framework
Federal States of Micronesia	<ul style="list-style-type: none"> • FSM has mechanisms in place to access GEF and AF financing. However, there are difficulties in realizing this funding (delays) • Support is needed to strengthening capacities and developing modalities to access finance
Fiji	<ul style="list-style-type: none"> • 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&A Assessments, biennial reporting support, and support in identifying and establishing links to other initiatives • The NAP can be an opportunity to bring together sectoral plans and sectoral sub-committees under one comprehensive approach • There is a preference to keep the NAP separate from National Communication support • There is a preference to use local consultants, with ongoing support provided
Georgia	<ul style="list-style-type: none"> • Expertise needed to train national institutions on approaches to develop NAPs that cover all sectors. • Needs appropriate models and tools, particularly for performing VRAs. • 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. • Partnerships such as PROVIA and the support provided for National Communications proved to be effective – a similar approach could be used for the GSP

Countries	Consultation Notes
Ghana	<ul style="list-style-type: none"> • 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. • 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. • 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. • There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive. • Must move from TA and into implementation; ‘plans’ already exist • There is also a need for enhancing inter-ministerial coordination of adaptation issues.
Grenada	<ul style="list-style-type: none"> • Grenada has initiated the NAP process with GIZ and BMU • 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
Guatemala	<ul style="list-style-type: none"> • 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. • 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. • 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. • There is a need to internalise and institutionalise adaptation measures within the government budgets. • 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.
Honduras	<ul style="list-style-type: none"> • 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. • 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. • 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. • There is also a particular need for capacity building related to adaptation priorities in key sectors such as coffee production, forestry, livestock and agriculture.
Indonesia	<ul style="list-style-type: none"> • Support is needed in raising public awareness climate change and having the public engaged/buy-in to adaptation action in the country

Countries	Consultation Notes
	<ul style="list-style-type: none"> Finance is also needed to implement existing adaptation plans/strategies
Jamaica	<ul style="list-style-type: none"> 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. 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 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. 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. 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.
Kenya	<ul style="list-style-type: none"> 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. At present, it is difficult to separate adaptation from national development planning. These two must be fully integrated. Coordination mechanisms can perhaps follow those of the National Communications. Guidance is needed regarding the requirements and format of the NAP.
Kyrgyzstan	<ul style="list-style-type: none"> Preliminary discussions have begun between UNDP and government. Kyrgyzstan is interested in receiving support from the project.

Countries	Consultation Notes
Macedonia	<ul style="list-style-type: none"> Hydromet has experience in developing climate models and different scenarios. However, further technical assistance is needed on the application of such GIS and climate risk information tools in planning and implementation, particularly for the health, water and biodiversity sectors. Technical assistance is needed on development of costed, bankable projects for implementation as a priority. 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. Support is also needed for M&E for adaptation strategies and policies. This includes development of adaptation indicators. Institutional coordination mechanisms need to identify clear roles and responsibilities for M&E. There is a high-level strategy on adaptation, but this is not adequately mainstreamed into sectoral planning, 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. These strategies also need to be further developed into explicit action plans for implementation. Identification of an NIE/RIE for accessing adaptation funding is a priority. There is need to coordinate development of new proposals for implementation of adaptation priorities with ongoing initiatives. This requires a strong institutional coordination mechanism between ministries and sectors that will facilitate proper linkages for strengthened inter-sectoral planning. ToRs should be developed for legislating such an institution.
Maldives	<ul style="list-style-type: none"> Existing plans are expiring and new plans are in draft form. There are transitions in political administration which could lead to changes in priorities. The geographic layout of the Maldives, makes planning/implementation/M&E challenging and costly 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. Maldives only recently graduated from LDC status, and had not fully benefited from the LDCF to implement its NAP. Support is needed with access to finance, including training on innovative financial mechanism (i.e. PES). 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.
Marshall Islands	<ul style="list-style-type: none"> Marshall Islands has undertaken considerable national dialogue concerning climate change There is a need for soliciting views and interests from the public to ensure harmonisation of adaptation planning with existing systems and processes Technical assistance is required, with assessments of climate change finance 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. The Pacific Environment Forum could be a means of enhancing sub-regional dialogue and coordination
Mexico	<ul style="list-style-type: none"> 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. 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. 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.

Countries	Consultation Notes
	<ul style="list-style-type: none"> • 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. • A methodology provided by GIZ is being used to prioritise actions that reduce vulnerability, provide benefits and are economically viable.
Mongolia	<ul style="list-style-type: none"> • 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. • Guidance is needed on the NAP process, to better understand how it will enhancing existing plans and efforts • Additional finance is needed to fully mainstream climate change into the planning process
Montenegro	<ul style="list-style-type: none"> • NAP support must build on prior efforts and experience (e.g. coordination mechanisms for National Communications)
Nauru	<ul style="list-style-type: none"> • Nauru's JNAP is in the process of finalization. This will serve as a platform for the NAP process, or the NAP itself. • There is need for assistance with implementation of adaptation priorities outlined in the J-NAP, as well as M&E of adaptation activities.
Nicaragua	<ul style="list-style-type: none"> • National development plans include environmental protection, adaptation and mitigation. • There is a national strategy for climate change. In addition, there are sectoral plans for the coastal, forest and water resources sectors. • Nicaragua has been successful in promoting private sector investment into renewable energy. This needs to be replicated for adaptation.
Nigeria	<ul style="list-style-type: none"> • Support is needed to implement priorities of existing adaptation strategies/plans, rather than support for a new planning process
Pakistan	<ul style="list-style-type: none"> • Pakistan is working on CPEIR with support from UNDP, the Ministry of Finance is engaged. This is closely linked to the NAP process. • Additional support will be needed to eventually implement the CPEIR recommendations.
Palau	<ul style="list-style-type: none"> • 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 • There are a range of needs <ul style="list-style-type: none"> ○ Sensitization of ministries ○ Inter-ministerial dialogue, especially on critical issues: coastal erosion, food security, role and needs of women in agriculture ○ 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 ○ Implementation strategy/plan, including links to finance ○ Raising public awareness of behaviour and climate change
Panama	<ul style="list-style-type: none"> • Panama has not yet started its NAP process, but expects to start in parallel with the TNC. • Needed are greater capacities in the relevant institutions, and funds for formulation activities.
Philippines	<ul style="list-style-type: none"> • 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. • Improved access to finance is needed.

Countries	Consultation Notes
Samoa	<ul style="list-style-type: none"> • 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 • The national monitoring and reporting framework will be developed based on the PPCR core indicators by end of 2014.
Serbia	<ul style="list-style-type: none"> • Sensitization of climate change and adaptation planning is needed for decision-makers. This results is 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. • Technical assistance is required on collection and application of climate risk information, particularly for floods, droughts and other extreme events. • No country has an NIE for accessing support from the Adaptation Fund. Creation of a RIE may be a better approach. • Implementation of adaptation interventions is a priority, access to finance is needed.
South Africa	<ul style="list-style-type: none"> • Assistance is needed on enhancing DRM and the functioning of EWS to promote adaptation. • There is a need for technical assistance on climate change projections as well as identification of potential options for adaptation interventions. • 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 • 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.
Sri Lanka	<ul style="list-style-type: none"> • Support is needed in implementing and monitoring adaptation action, specifically finance for implementation and a more streamlined, comprehensive M&E framework.
Thailand	<ul style="list-style-type: none"> • 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. • Challenges raised include: <ul style="list-style-type: none"> - 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 - training is important but more important is to have strategies in place to ensure the right people are identified to be trained; - 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. • 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.

Countries	Consultation Notes
Trinidad and Tobago	<ul style="list-style-type: none"> 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. 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. 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. 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. 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.
Turkmenistan	<ul style="list-style-type: none"> 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.
Uruguay	<ul style="list-style-type: none"> 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). 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. 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. 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.
Viet Nam	<ul style="list-style-type: none"> 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. Greater engagement is needed with sub-national government for effective an NAP

Political/Party Groupings	Consultation Notes
African States	<ul style="list-style-type: none"> • 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 • There is a need to expand the current plans into all relevant sectors to ensure that they are sufficiently comprehensive • There are a number of contextual issues that need to be addressed in providing support to non-LDCs, there is a need for flexibility • In the pre-development of the NAP, it is important to emphasize that it looks at long-term adaptation • 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 • Clarity on NAP guidance is needed. The current guidelines for NAP are aimed at LDCs, are these relevant enough for non-LDCs • There is a need for support to implement priorities of existing adaptation strategies/plans, rather than supporting the planning process itself
Alliance of Small Island States (AOSIS)	<ul style="list-style-type: none"> • NAPs should be aligned with predictable financial support, funding for non-LDCs is unpredictable and inadequate • There is a need for an increased focus on implementation (as opposed to planning) of adaptation priorities • Special technical guidelines should be developed to include specific consideration of the vulnerabilities of SIDS <ul style="list-style-type: none"> ◦ High vulnerability to climate change ◦ Low technical capacity
Eastern European States	<ul style="list-style-type: none"> • Efficiency and sharing of information should be key factors in determining the approach to capacity building, especially for (sub-)/ regional activities • M&E of adaptation benefits is problematic. Analysis of loss and damages is routinely undertaken, but M&E of social benefits is generally not, owing to political and other sensitivities. • 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. • There is a need to identify means of obtaining financial assistance for implementation of adaptation priorities. • 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. • There is ongoing support (e.g. GIZ, EU), which the SCCF project must seek complementarity and cooperation • Must ‘progress constructively’, building on what’s already been done
G-77 and China	<ul style="list-style-type: none"> • 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) • Proliferation of guidelines on the NAP process is confusing; there is a need for coherence and rationalization. Must take stock of existing guidelines • Must ensure that guidelines are in line with poverty/vulnerability reduction goals

Development Partners	Consultation Notes
EU	<ul style="list-style-type: none"> • 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 • LDCs have been successful in establishing national coordination mechanisms and institutional arrangements to facilitate the NAP process • The two GSPs on the NAP process need to collaborate and coordinate efforts to ensure efficiencies with existing efforts • EU is committed to support LDCs and non-LDCs
Japan	<ul style="list-style-type: none"> • Through JICA, Japan is providing support through tools and methodologies for adaptation planning, particularly on the national systems for climate risk information • Collaboration should be sought with JICA efforts in the area of adaptation technologies (linkages with Adaptation Committee's TEC)
Norway	<ul style="list-style-type: none"> • The NAP GSP should strengthen coherence and capacity building of national institutional arrangements. The should be reflected in technical guidelines on the NAP process • 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 • 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 • NAPs should be anchored in and informed by implementation of concrete, on-the-ground actions. This necessitates additional financing for NAP implementation • Finance needed for non-LDCs for NAP implementation
SPREP	<ul style="list-style-type: none"> • JNAPs will be the entry point for many countries in the Pacific • JNAPs, which merge CCA with DRM, have been completed in 7 countries, and 3 more are in draft form • Areas where NAP support can build on JNAPs <ul style="list-style-type: none"> ○ Implementation plans – prioritizing, sequencing, and costing of activities ○ South-South peer training ○ Quantifying costs, true cost of adaptation ○ Climate models ○ Ensuring readiness and enhance capacity to access finance • SPREP is committed to supporting PICs
US	<ul style="list-style-type: none"> • 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

Annex C: Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)
2. Project Number	5347
3. Location (Global/Region/Country)	Global

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

This project enhances the participation in decision-makers across all economic sectors in the target countries. Decision-makers, in turn are responsible for reflecting the needs of those who are most affected by climate change, particularly the vulnerable communities, marginalized individuals and groups. The project promotes the inclusion of these groups in decision-making processes that may impact them (consistent with the non-discrimination and equality human rights principle).

Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment

NAPs follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems. NAPs are based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate. Comprehensive consideration of gender issues is a prerequisite for sustainable development. The SCCF project mainstreams gender considerations through the approaches described below:

- Seek gender-balance and engagement of Ministry of Women (or similar ministry 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 group, 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.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The National Adaptation Plan (NAP) process was established to promote political and financial support at the national level to mainstream climate change adaptation into development planning. The overall objective of adaptation is to reduce vulnerability to the impacts of climate change by minimizing, reducing or **avoiding risks** as well as enhancing the capacity to adapt to climate change. Therefore this process is intrinsically meant to address long term sustainability of environment and ecosystems, in the face of a changing climate.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
N/A	I = 1 P = 1	Low	This project is low risk, as all of its activities are focused on technical assistance for building capacities for government officials.	N/A
	I = P =			
	I = P =			

	I =			
	P =			
[add additional rows as needed]				
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
	<i>Low Risk</i>	<input checked="" type="checkbox"/>		
	<i>Moderate Risk</i>	<input type="checkbox"/>		
	<i>High Risk</i>	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	Does not apply	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>		
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>		
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>		
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>		
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>		
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>		
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>		
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>		

Final Sign Off

Signature	Date	Description
QA Assessor Claudia Ortiz	15/January/15	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Claudia Ortiz	15/January/15	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative

		(RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	no
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴⁹	no
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	no
5.	Are there measures or mechanisms in place to respond to local community grievances?	no
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	No

⁴⁹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>		
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		

2.1	Will the proposed Project result in significant ⁵⁰ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No

⁵⁰ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁵¹	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No

⁵¹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex D: UNDP Year 1 Procurement Plan

Country Office	BRH
Submitted by:	Environment & Energy Team
Date:	1-Jun-15

Instructions:
 - Only include procurements to be done by UNDP for DIM, Management, support-to-NIM projects and UN Agencies
 - If you need additional lines, right-click and "Insert" rows, do not copy-paste, to keep drop-down menus & format.

Unit	Project Name (acronym or brief name)	Type of Supply	Category	Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works	Procurement Process Status	Notes	Person in Charge of process
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Adaptation Planning	Daily Fee	160	\$600	\$96,000	1-Jun-15	31-May-16	project	Not Started	possibility of renewal based on performance and country demand for specialized training	Apichad Taruvitayakom
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Economics	Daily Fee	60	\$600	\$36,000	1-Jun-15	31-May-16	project	Not Started	possibility of renewal based on performance and country demand for specialized training	Apichad Taruvitayakom
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Climate Information	Daily Fee	80	\$600	\$48,000	1-Jun-15	31-May-16	project	Not Started	possibility of renewal based on performance and country demand for specialized training	Apichad Taruvitayakom
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Institutional dialogues	Daily Fee	90	\$300	\$27,000	1-Jun-15	31-May-16	project	Not Started	possibility of renewal based on performance and country demand for specialized training	Apichad Taruvitayakom
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Research assistant	Daily Fee	90	\$200	\$18,000	1-Jun-15	31-May-16	project	Not Started	Renewable depending on project needs	Apichad Taruvitayakom

E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Intl.	Roster Expert - Communications	Daily Fee	60	\$250	\$15,000	1-Jun-15	31-May-16	project	Not Started	Renewable based on performance and quality of communications materials and case studies	Apichad Taruvitayakom	
E&E	NAP GSP Non-LDCs	Individual Contractor	Individual Consultant (IC) - Local	NAP Roadmap	Lumpsum by Output	5	\$10,000	\$50,000	1-Jun-15	31-May-16	project	Not Started	possibility of renewal based on performance and country demand for specialized training	Apichad Taruvitayakom	
E&E	NAP GSP Non-LDCs	Services	Consulting Firm Services	Pilot Private Sector Platform	Lumpsum by Output	1	\$55,000	\$55,000	1-Jun-15	31-May-16	project	Not Started	Renewable pending performance and outcome of feasibility assessment in pilot countries	Apichad Taruvitayakom	
E&E	NAP GSP Non-LDCs	Services	Other Services	Course Design and Delivery	Lumpsum by Output	1	\$100,000	\$100,000	1-Jun-15	31-May-17	project	Not Started	Expected duration 3 years, annual performance reviews	Apichad Taruvitayakom	
								Total Year 1	445,000						

Annex E: Terms of Reference for Project Staff and Additional Support

Below are brief terms of reference for Project Staff, as well as technical and logistical support.

A. Lead Technical Specialist (UNDP)

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 include:

Technical Guidance

- Support countries participating in the GSP NAP programme to reactivate and update national teams (e.g. working groups created for the NAPAs and/or national development plans) on supporting the NAP process, including identification of a champions and other key stakeholders;
- Guide and review country activities focused on stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process;
- Guide country level consultations to identify the scope and direction 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;
- Conduct and/or review and comment on gap analysis conducted on 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) in a select number of countries;
- Maintain a strategic understanding of, and engagement with, the substantive technical issues, institutions, and processes within the countries served of relevance to the NAP process, including establishing contact with and developing strategic partnerships with other agencies, donors, NGO's, the private sector, and scientific institutions etc. as they relate to advancing key elements of the NAP process;
- Provide policy advisory support to national partners including key Ministries (especially in finance, planning and other relevant line Ministries) and other stakeholders, on the importance of medium to long-term planning and budgeting for adaptation;
- Support the development of specific policy analysis and development tools and guidance;
- Coordinate with UNDP-GEF Regional Technical Advisors supporting adaptation programming with multiple sources of finance, well as others both within and outside of UNDP, especially in Africa, Asia and Pacific on substantive issues of relevance to NAPs;
- Facilitate partnerships for South-South and North-South transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes;
- Facilitate training in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting in partnership with UNEP;
- Evaluate, capture, codify, synthesize lessons and stimulating the uptake of best practices and knowledge, including the development of case studies, resource kits and other knowledge materials;
- Respond to queries on programme/project progress, impacts and lessons;

Project Leadership

- Supervise, coordinate and lead the overall UNDP-UNEP NAP project team in discharging their duties at an optimum level through ensuring efficient and effective resources planning, budgeting and utilization
- Assist inception, contracting and start-up of programmes/projects including establishment of indicators, benchmarks and work plans, annual status and financial reports and carry out other Project Board directives;
- Identify and source technical expertise and support including assisting with the preparation of TORs, identification and evaluation of experts and reviewing reports;

- Lead efforts to 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;
- Support UNDP country offices in liaising with national partners on NAP related issues;
- Develop and maintain close linkages with relevant agencies, stakeholders, key donors of UNDP, UNEP-GEF, NGOs, civil society, international organizations, and implementing partners of the project;
- Ensure that UNDP rules and procedures are fully met in the course of the project implementation including procurement

B. Technical Specialist (UNEP)

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 the NAPs process. He/S/e will build and manage relationships and partnerships.

Responsibilities include:

- 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.

C. Additional Technical Expertise (UNDP)

The stocktaking exercise and roadmap development experience from the *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project indicates the need for targeted technical support with longer term support for roadmap development. The goals of outcome 1 are to identify the gaps in institutional capacity to initiate NAP process, provide technical training as appropriate, and suggest tangible ways of addressing gaps and identifying strategic opportunities for follow-up in the short term. In practice this has resulted in in-country missions of 3 to 4 people drawn from several NAP-GSP partners organized, with follow up support by local consultants for roadmap development.

To meet these goals, additional consultants will be needed to provide technical training and support roadmap development. Responsibilities include:

- In-country stock-taking of existing institutional mechanisms, planning processes and other initiatives relevant to the NAP process
- In cases where gaps can be addressed through the project, the consultant will conduct technical training (i.e. in areas such as cost-benefit analysis, analysis of climate change scenarios, innovative financial mechanisms and developing bankable projects)
- In cases where gaps and needs exceed the scope of the project, the consultant will develop a draft roadmap of key institutional and multi-sector steps for the short and medium term (at least a 5 year period) for the NAP process relevant to the specific national contexts.

D. Communications Specialist (UNDP/UNEP)

A Communications Specialist will be recruited on a need basis to collect, synthesize and disseminate case studies related to the NAP process. Responsibilities include:

- Work with the project team and country teams to collect best practices and lessons learned related to the NAP process; disseminate through appropriate channels (not exclusive to the NAPs GSP platforms)
- Identify case studies demonstrating the link between building adaptation capacity and reducing vulnerability (i.e. reflecting the overall NAP objectives); develop print, web-based, and video products detailing case studies

E. Project Assistant (logistical support as needed)

A Project Assistant will be recruited as necessary from the project management budget allocation to undertake administration of the day-to-day operations of the project, particularly related to missions and the organization of workshops. Responsibilities include:

- 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;
- Draft necessary correspondence with local and international agencies and stakeholders;
- 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 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

Annex F: LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT)

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.

Project Baselines, targets and outcomes						
Indicator	Unit of measurement	Baseline at CEO Endorsement	Target at CEO endorsement	Actual at mid-term	Actual at Completion	Comments (e.g. specify unit of measurement)
Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation						
Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures						
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%			
Objective 3: Integrate climate change adaptation into relevant policies, plans, and associated processes						
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						
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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Reporting on GEF gender indicators						
Q1: Has a gender analysis been conducted during project preparation?	NO					
Q2: Does the project results framework include gender-responsive indicators, and sex-disaggregated data?	YES					
Q3: Of the policies, plans frameworks and processes supported how many incorporate gender dimensions?	all					
Q4: At mid-term/completion, does the mid-term review/terminal evaluation assess progress and results in terms of gender equality and women's empowerment?	N/A					

Annex G. Co-financing Letters

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 45th Street, New York, NY 10017, USA, Tel: 1 212 906 5143, Fax: 1 212 906 6998 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



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/GEFCCAUC

17th 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
Total	800,000		

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
Total	3,000,000		

Dr. Naoko Ishii CEO
& Chairperson
Global Environment Facility
1818 H Street, NW Washington
DC 20433, USA Email: nishii
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With best wishes

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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 grey ink, appearing to read "Angus 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



*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 adaptation 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
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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', written over a faint printed name and title.

Stephen O'Malley
Resident Representative



Empowered lives.
Resilient nations.

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)".

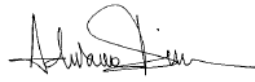
Dear Dr. Ishii,

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.

Yours Sincerely,



Adriana Dinu
Executive Coordinator
UNDP - Global Environment Facility

Annex H: UNEP Project Document
(See separate document)