

## PROJECT DOCUMENT

<b>1.1 Project title</b>	Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).
<b>1.2 Project number</b>	5868
<b>1.3 Project type</b>	FSP
<b>1.4 Trust Fund</b>	LDCF
<b>1.5 Strategic Objective</b>	Climate change adaptation
<b>1.6 UNEP priority</b>	Climate change adaptation;
<b>1.7 Geographical scope</b>	Global:
<b>1.8 Mode of execution</b>	Internal execution
<b>1.9 Project executing organisation</b>	UNDP/UNEP
<b>1.10 Duration of project</b>	36 months Commencing: 01/05/2016 Technical Completion: 30/04/2019

<b>1.11 Cost of project</b>	<b>US\$</b>	<b>%</b>
Cost to the GEF LDCF	6,200,000	<b>31</b>
Funds managed by UNEP:	2,400,000	12
Funds managed by UNDP:	3,800,000	19
Co-financing		
<i>Grant</i>		
BMUB – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (Agricultural NAPs)	4,000,000	20
Australian Government – Pacific Risk Resilience Programme (PRRP)	4,000,000	20
Danish Government/UNEP DTU – Adaptation Mitigation Readiness Project (ADMIRE)	800,000	4
UNDP – Strategic Initiative to Address Climate Change in Least Developed Countries (aka Boots Programme)	4,900,000	25
<i>Sub-total</i>	13,700,000	<b>69</b>
<b>Total</b>	<b>19,900,000</b>	

## Project summary

Climate change and associated climate variability will negatively affect future development trajectories and thus pose a serious challenge to poverty reduction and sustainable development efforts around the world. These effects and challenges of climate change are expected to be most notable in Least Developed Countries (LDCs). LDCs have made some progress towards addressing the most urgent and immediate effects of climate change through initiatives such as National Adaptation Programme of Actions (NAPAs), as well as through advancement on poverty reduction and Millennium Development Goals (MDGs) over the last decade. However, these countries now need to integrate medium- to long-term planning for climate change into the framework of national development priorities. The National Adaptation Plan (NAP) process, established under the Cancun Adaptation Framework, is a means to address this need.

Parties have established that the NAP process should be country-driven, continuous, participatory, progressive and iterative. In particular, the process will enable LDCs to integrate identification, financing and implementation of medium- to long-term adaptation needs into sectoral and cross-sectoral priorities, at national, sub-national and local levels. Importantly, the medium- to long-term adaptation planning underpinning the NAPs should be multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and good practices within, and outside, countries. At present, LDCs are implementing urgent and immediate adaptation needs, with most focusing on sector specific interventions. LDCs do not have access to well-organised knowledge to inform climate-resilient planning processes, and the required medium- to long-term and cross-sectoral planning is seldom undertaken. LDCs also often do not have the required institutional structures and technical capacity for initiating a functional, cross-sectoral and iterative NAP process.

A request was made at the Durban COP-17 for United Nations agencies to consider support mechanisms to assist LDCs to advance their NAP processes. In response to this request, a Global Support Programme (GSP) was implemented in June 2013 by UNDP and UNEP – financed by LDCF – titled “Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans” (Ongoing NAP GSP). This ongoing GSP has provided considerable support to a number of LDCs to initiate or advance the NAP process by familiarizing them with the NAP Technical Guidelines<sup>1</sup>, developing tools to support the NAP process and disseminating other existing tools, and by providing one-on-one tailored support to certain LDCs to advance their NAP processes. However, there are still gaps in the capacity of LDCs to implement and/or advance the NAP process, and the demand for the support to advance the NAP process provided through the Ongoing NAP GSP is increasing.

This UNDP-UNEP Expanded NAP GSP – also financed by the LDCF – will expand the support provided through the Ongoing NAP GSP by delivering additional technical support to overcome capacity gaps to an increased number of LDCs. The objective of the programme is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. This will assist LDCs to adapt to the impacts of climate change by providing these countries with an enhanced capacity to plan, finance, and implement adaptation interventions through integration of climate change into medium- to long-term development frameworks. The programme objective will be achieved by: i) expanding technical support such that at least twenty additional LDCs benefit from tailored one-on-one support; ii) building on the Ongoing NAP GSP project to further develop and disseminate tools and methodologies that support important steps of the NAP process in LDCs; iii) organising an additional six targeted training workshops on key elements of the NAP process; and iv) further facilitating the exchange of knowledge and lessons learned – through South-South and North-South cooperation – with a view to enhancing the capacity for advancing the NAP process within LDCs.

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<sup>1</sup> Available from:  
[http://unfccc.int/adaptation/workstreams/national\\_adaptation\\_programmes\\_of\\_action/items/7279.php](http://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7279.php)



## TABLE OF CONTENTS

ACRONYMS AND ABBREVIATIONS.....	6
<b>SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION).....</b>	<b>8</b>
2.1. Background and context .....	8
2.2. Threats, root causes and barrier analysis .....	9
2.3. Global significance .....	14
2.4. Institutional, sectoral and policy context.....	14
2.5. Stakeholder mapping and analysis .....	16
2.6. Baseline analysis and gaps .....	16
2.7. Linkages with other GEF and non-GEF interventions.....	24
<b>SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE) .....</b>	<b>29</b>
3.1. Project goal and objective.....	29
3.2. Project rationale and policy conformity .....	29
3.3. Project components and expected results.....	34
3.4. Intervention logic and key assumptions .....	39
3.5. Risk analysis and risk management measures.....	39
3.6. Consistency with national priorities or plans .....	41
3.7. Additional cost reasoning .....	42
3.8. Sustainability .....	42
3.9. Replication .....	43
3.10. Public awareness, communications and mainstreaming strategy .....	44
3.11. Environmental and social safeguards .....	44
<b>SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS .....</b>	<b>45</b>
<b>SECTION 5: STAKEHOLDER PARTICIPATION .....</b>	<b>48</b>
<b>SECTION 6: MONITORING AND EVALUATION PLAN .....</b>	<b>51</b>
<b>SECTION 7: PROJECT FINANCING AND BUDGET .....</b>	<b>53</b>
7.1. Overall project budget.....	53
7.2. Project co-financing.....	54
7.3. Project cost-effectiveness.....	54
<b>ANNEXURES.....</b>	<b>56</b>
Annex 1: UNEP project budget by project components and UNEP budget lines.....	56
Annex 2: UNDP project budget.....	60
Annex 3: Results framework.....	63
Annex 4: Workplan and timetable.....	69
Annex 5: Costed M&E plan.....	71
Annex 6: Summary of reporting requirements and responsibilities .....	72
Annex 7: Standard Terminal Evaluation TOR.....	73
Annex 8: Terms of Reference for Key Project Entities and Project Staff.....	74
Annex 9: Co-financing commitment letters from project partners .....	77
Annex 10: Endorsement letters of GEF National Focal Points .....	83
Annex 11: Draft procurement plan .....	84
Annex 12: Tracking Tools.....	85
Annex 13: UNDP & UNEP comparative advantage .....	87
Annex 14: UNEP checklist for Environmental and Social Safeguards.....	89
Annex 15: Theory of Change .....	93
Annex 16: Stakeholder consultations during the PPG identifying the priorities for support according to the elements and steps of the NAP process. ....	95
Annex 17: Toolkits and guidance from related initiatives.....	104



**ACRONYMS AND ABBREVIATIONS**

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

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

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

### 2.1. Background and context

1. 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, most Least Developed Countries (LDCs) have not fully integrated climate change risks and opportunities in a comprehensive and sustained manner.

2. The National Adaptation Plans (NAPs)<sup>2</sup> process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for LDCs to mainstream climate change into development planning. At the 17<sup>th</sup> Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant 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.

3. LDCs called for support with identifying capacity gaps and strengths in terms of undertaking a NAP process, as well as technical assistance in drafting NAP work plans or roadmaps. In response to this call, a global support programme was implemented by UNDP and UNEP and financed by LDCF, entitled “Assisting Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPS)” (hereafter referred to as the ‘Ongoing NAP GSP’ in this project document). This programme – which began in June 2013 and is expected to end in December 2015 – supported a number of LDCs to initiate the establishment of institutional and coordination arrangements for the NAP through three main outcomes: 1 - LDCs are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets; 2 - Tools and approaches to support key steps of the NAP process are developed and accessible to all LDCs; and 3 - Exchange of lessons and knowledge through South-South and North-South cooperation to enhance capacities to formulate and advance the NAP process.

4. The Ongoing NAP GSP has provided considerable support to a number of LDCs to initiate or advance the NAP process. In particular: i) 15 LDCs have received one-on-one support to strengthen their institutional and technical capacity to implement the NAP process through Outcome 1; ii) more than 130 policy and technical officers from 47 LDCs have been sensitised on the NAP process through Outcome 2; and iii) knowledge-sharing mechanisms have been established – including an interactive web platform and newsletter – through Outcome 3. Despite these achievements, there are still gaps in the capacity of LDCs to implement and/or advance the NAP process, and the demand for the support provided through NAP GSP is increasing. For example, an additional 14 requests for one-on-one technical support through Outcome 1 of Ongoing NAP GSP – over and above the 12 LDCs that have received support – have been received to date, and this number is expected to increase as more countries start their NAP process. Moreover, through Outcome 2 of the

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<sup>2</sup> This culminated in Decision 5/CP.17

programme, LDCs identified additional training needs<sup>3</sup> for the NAP process that require in-depth training to specific national stakeholders – an activity that was not within the scope/resources of this initial programme.

5. To continue providing support to LDCs, and contribute to addressing the above mentioned gaps, UNDP and UNEP seek funding to implement “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)” (hereafter Expanded NAP GSP). Importantly, the Expanded NAP GSP will build on the achievements of and lessons learned from the Ongoing NAP GSP to strengthen the appropriate institutional frameworks, managerial capacity and decision-making processes in LDCs so that climate change can be systematically addressed in medium- and long-term planning.

## 2.2. Threats, root causes and barrier analysis

### Climate change-induced threat

6. Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. For example, increasing temperatures, altered precipitation regimes, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health<sup>4</sup>. These effects are predicted to worsen in the future. The ability to adapt to the negative effects of climate change has far-reaching implications for sustainable development in most countries, but especially in Least Developed Countries (LDCs). These countries are inadequately equipped for managing the effects of climate change because of a variety of factors including *inter alia* their limited financial and technical capacities to plan for and adapt to climate change. Without the capacity to manage medium- to long-term climate change risks and opportunities, negative effects of climate change will undermine years of progress on advancement towards the Millennium Development Goals (MDG)<sup>5</sup>, future development towards the Sustainable Development Goals (SDG) and economic growth prospects.

7. Given the above, there is an urgent need to strengthen their capacity to adapt to the negative effects of climate change. The **primary problem** is that LDCs require additional support – beyond what has been offered so far – to advance their medium to long-term adaptation planning processes. Specifically, LDCs require further support to develop the required institutional structures, knowledge base and technical capacity for initiating a functional, cross-sectoral and iterative process to integrate adaptation to climate change into national, sub-national and sectoral planning and budgeting processes.

### Preferred solution

8. The long-term preferred solution would be that climate change is taken into account in a coherent, aligned and iterative manner within new and existing development policies and processes. This type of planning would result in climate-resilient sustainable development.

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<sup>3</sup> Such as *inter alia* training on climate scenario modelling, sectoral vulnerability assessments and economic appraisals of adaptation options.

<sup>4</sup> Intergovernmental Panel on Climate Change. 2007. *Fourth Assessment Report: Climate Change*.

<sup>5</sup> United Nations. 2007. *The Millennium Development Goals Report*.

Such a process would require the involvement and commitment of decision-makers at national, sectoral and local levels.

9. **Cooperation between different sectors** will be required to achieve the preferred solution, and to avoid negative unintended consequences from adaptation interventions and policies. In particular, partnerships between the following groups of stakeholders would be capitalised to foster increased clarity and efficiency, to resolve conflicts/trade-offs, and to avoid redundancy: i) different levels and sectors of government within countries; ii) governments of countries sharing common interests, such as those within the same region that share similar geographic contexts and climate change impacts ; iii) the academic community and civil society; iv) technical experts; v) the private sector; and vi) local communities and marginalised people. This cooperation would allow countries to leverage capacity that is already being strengthened by aligned initiatives. Moreover, it would promote coordination with all sectors and levels under a common framework. This process would: i) enable adaptation planning that is built on existing networks and expertise within countries; ii) avoid duplication of processes; and iii) enable collation and dissemination of knowledge and lessons learned to inform future decision-making.

10. To achieve the preferred solution, existing **decision-making systems would also be tailored** to inform and guide adaptation policy, planning, budgeting and financing. Such processes would be more comprehensive than those used during the development of NAPAs, with participation from a wider range of stakeholders. The affected national, sectoral and local authorities – e.g. states, government ministries, provinces, municipalities and communities – would consider climate change in day-to-day business decisions, and introduce climate-resilient policies, regulations and incentives to advance adaptation to climate change at all scales. The involvement of – and incentives for – the private sector in national adaptation would be promoted by creating an appropriate enabling policy environment that removes barriers for individual entrepreneurs, Small and Medium Enterprises and large corporates. Moreover, decisions on land-use zoning and local planning would incorporate climate change considerations, thereby promoting implementation of appropriate adaptation interventions.

11. The preferred solution would also have policy interventions for adaptation to climate change and planning being **governed appropriately** (i.e. country-driven, gender-sensitive and transparent), **embedded in institutions across a range of scales** (i.e. local to national), and being **evidence-based** (i.e. using the best available scientific data and robust technologies). To plan for adaptation across a range of scales and sectors, appropriate assessments and modelling of the potential biophysical, economic and poverty effects of climate change at the national, sectoral and local levels would be regularly undertaken.

12. Within the preferred solution, climate-resilient development in LDCs would build on: i) **lessons learned and achievements of aligned initiatives such as the NAPA**; and ii) **in-country knowledge, as well as South-South and North-South exchange of experiences and knowledge**. Additionally, tools and methodologies developed by bilateral agencies and support projects would be used to further support the NAP process and promote climate-resilient development. LDCs would also draw on guidance from *inter alia* the UNFCCC's LEG and the Adaptation Committee (AC) to promote best practices for medium- to long-term planning adaptation to climate change. NAPs would complement and be built on already institutionalised processes in LDCs such as the NCs, TNAs and NAPAs, having iteratively and continuously identified interventions that build adaptive capacity and resilience.

13. The preferred solution would have public authorities with **improved political, managerial, technical and financial capacities** for informing and developing medium- to long-term, climate-resilient development in national and sub-national strategies and budgets. Knowledge on the effects of climate change would be integrated into all relevant planning and line ministries – e.g. Finance and Planning/Development – instead of remaining in a select number of ministries. Knowledge-sharing, planning and budgeting for adaptation would also be promoted at a sub-national level depending on the devolution of administrative responsibilities in each LDC. Exchange of information and replication of good practices would also be promoted between countries and regions.

### **Barriers to achieving the preferred solution**

14. Since the Expanded NAP GSP will be an expansion of the Ongoing NAP GSP, similar barriers underpin the rationales of both LDCF projects. The barriers that would need to be removed to advance medium- to long-term planning for climate resilient development in LDCs are discussed below.

*Climate-resilient development planning is not currently 'business-as-usual' for national development planners and economic-decision-makers.*

15. To date, the discussion on NAPs has pointed overwhelmingly to the need for climate-resilient planning and budgeting to be embedded within the existing annual/periodic planning and budgeting processes of respective countries. In this context, it will be important to build the NAP on: i) existing processes, strategies or policies in LDCs; and ii) those adaptation plans already under development. In so doing, the creation of parallel structures and/or processes and contradictory objectives will be avoided. Moreover, linkages need to be made with work already underway and related local, sectoral, national development planning process including *inter alia* Poverty Reduction Strategies, Low Emission Climate Resilient Development Strategies and emerging SDGs. Additionally, lessons learned from past development decisions – including successes and challenges – will need to be taken into account. The highest levels of political support and consensus will be required to advance an integrated approach to prevent the NAPs from becoming another stand-alone process.

*The multi-faceted and complex nature of climate change impacts is not well understood.*

16. Where medium- to long-term planning processes for adaptation in LDCs do exist<sup>6</sup>, they seldom holistically consider the multiple risks and stresses affecting human, social, physical, natural and financial capital. Moreover, there is limited consideration of how livelihood options may change in response to the effects of climate change, and how development plans in turn may be affected. This is partly because stakeholders involved in planning – including states, markets and civil societies – do not adequately understand their particular responsibilities in adaptation to climate change. Moreover, the institutional and political factors that either promote or hinder the enabling environment for climate-resilient development are not well documented and understood. Therefore, these factors are not managed or leveraged to bring about the necessary change for integrated adaptation.

*Weak horizontal (cross-sectoral) and vertical (national/sub-national) coordination.*

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<sup>6</sup> These nascent processes include National Implementation Strategies for Climate Change (e.g. Sudan) or the inclusion of climate change in national development visions (e.g. Malawi).

17. In LDCs, weak cross-sectoral coordination for advancing climate change adaptation planning for the medium- to long-term within the context of national development strategies is a notable barrier to advancing the NAP process. Currently, capacities within these countries are not adequate for integrated and multi-sectoral planning and implementation. This is the case for general development planning and for multi-sectoral areas (for example, land use management). In some countries, a few sectors have made progress in addressing climate risk, but on the whole, the progress of comprehensive risk management approaches across the whole of government, remains uneven. This affects also the pace and progress of cross-sectoral coordination.

18. National institutional and technical capacities will need to be strengthened to fully integrate multi-sectoral planning, budgeting, implementation and monitoring – not only at the national but also at the sub-national level – by leveraging and coordinating existing processes. Plans for supporting climate-resilient planning at the sub-national level will consequently need to be factored in from the beginning of the process. To this end, capacity development for the NAP process should therefore be undertaken at both the national and sub-national level. To date, national and local initiatives for climate mainstreaming in planning and budgeting are taking place in several countries, however at present there are limited connections to tie together feedback loops between the two levels. .

19. In addition, the role and responsibilities of different stakeholders at the national and sub-national – including local – levels in the NAP process will need to be clearly defined. This definition will clarify the institutional arrangements for the formulation, implementation and monitoring and evaluation (M&E) of the NAPs. It will also enhance awareness of particular roles and responsibilities of stakeholders at the outset of the NAP process.

*Limited financing for appropriately trained personnel in key public sector institutions, who have the skills and mandates needed to support climate resilient planning, and financing.*

20. The funding required for adaptation is considerable. In developing countries, over the period 2010 to 2050, necessary adaptation investments could average US\$30 to US\$100 billion a year<sup>7</sup>. These figures can be compared with the roughly US\$100 billion per year made available for broader development assistance. Consequently, innovation is necessary to diversify sources of funding and create new revenue streams for adaptation. In this context, some countries are assessing what it would take to attract the larger volumes of international private sources of finance that is available, but which might not yet be reaching their countries. In particular, countries are trying to better understand why it is that private financing 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). Understanding and overcoming barriers to attracting private capital flows to support adaptation is therefore very important for many developing countries. There is also interest to examine the feasibility of innovative financial schemes – e.g. green bonds or municipal bonds – to raise the necessary capital, and as options for incentivizing investment by the private sector. However, these options have been underexplored in most developing countries.

*Insufficient policy guidance.*

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<sup>7</sup> World Development Report 2010 (<http://siteresources.worldbank.org/INTWDRS/Resources/477365-1327504426766/8389626-1327510418796/Chapter-6.pdf>)

21. Many LDCs currently experience low diffusion and poor application of policy guidance as they are transitioning from urgent and immediate adaptation actions to medium- to long-term adaptation planning and budgeting. There is also a poor understanding of: i) the concept of mainstreaming; ii) the benefits that integrated adaptation brings; and iii) how to achieve the task. Finally, policy guidance is not adequate to align medium- to long-term adaptation planning and budgeting with planning for economic growth and poverty reduction in a manner that does not create contradictory objectives.

*Limited availability of evidence-based methodologies and tools.*

22. Currently, there is limited availability of knowledge on evidence-based good practices for assessing: i) economic and social vulnerability to current and future climate change; ii) adaptation needs that are aligned with green growth and poverty reduction objectives; and iii) economically and socially viable development options in the context of uncertainty in the medium to long term. Data collection and use for adaptation planning is hindered by inadequate institutional structures for designing and implementing: i) data collection methodologies; ii) data analysis; iii) data storage and sharing protocols; and iv) systems that use data to inform decision-making. This is in part because of the absence of a clear vision as to which organisation(s) will lead the NAP process. Consequently, there is a need for institutionalising the process in a manner that will result in: i) regular collection of information at national, sectoral and local levels; ii) best-practice tools and approaches for informing the NAP process; and iii) sharing of information across sectors and with non-governmental organisations. There is a need to develop, pilot and institutionalise tools for screening investments plans and projects to include adaptation needs.

*Few political champions for the NAP process.*

23. There are few individuals within LDC governments that have the political influence and technical capacity to champion the NAP process. Indeed, awareness of – and engagement in – climate change adaptation among leaders remains limited. As a result, there is inadequate local and national leadership to guide the adaptation process. This is related to a perceived reluctance to expand leadership and decision-making functions beyond traditional government players, and inadequate engagement of wider partnerships for increased collaboration amongst all players and stakeholders. Currently, the NAP process is usually driven by ministries of environment that have limited mandate and control over investments with adaptation benefits that lie in other major sectors, such as agriculture, water and health. Often the ministry of environment is engaged with climate strategy but lacks the necessary institutional links to translate strategic adaptation priorities into operational priorities, or the ability to direct public investment plans that are under other sectors or the planning and finance ministries.

*Limited awareness, communication and knowledge-sharing of the NAP process among LDCs.*

24. Currently in LDCs, there are few systems for communication and awareness-raising regarding medium- to long-term planning for adaptation to climate change. Moreover, there is an insufficient South-South and North-South knowledge- and experience-sharing, which is relevant for advancing the NAP process – including climate resilient planning and budgeting – in LDCs.

### 2.3. Global significance

25. The Expanded NAP GSP will increase the technical and institutional capacity of LDCs to integrate medium- to long-term adaptation into development planning across sectors and at all levels of government. This integration will lead to increased climate resilience of local communities, ecosystems and economic infrastructure within non-LDCs. The project will therefore result in benefits at the national, regional and global level. For example, appropriate medium- to long-term planning for climate change can: i) generate multiple social co-benefits in LDCs; ii) contribute to conservation and sustainable use of biodiversity, including species of global significance; iii) increase the resilience of local livelihoods and the national economy; and iv) contribute to climate change mitigation<sup>8</sup>. Enhancing medium- to long-term planning for climate change will also achieve adaptation benefits for various sectors such as health, agriculture and water. This will contribute to sustainable development in LDCs and will support poverty reduction and the ability of LDCs to achieve the United Nations' SDGs.

### 2.4. Institutional, sectoral and policy context

#### Alignment with Global and Regional Frameworks

26. The conventions outlined below provide frameworks and guidelines that inform policy in signatory nations. Examples include guiding policy documents generated under the UNFCCC, the UNCCD's National Action Programme and the CBD's National Biodiversity Strategic Action Plans (NBSAPs). Medium- to long-term planning for climate change adaptation can provide multiple social, economic and environmental benefits. The Expanded NAP GSP will contribute to the conventions' frameworks by strengthening national capacities for medium- to long-term planning for climate change adaptation.

27. The UNFCCC coordinates the efforts of 195 signatory countries to mitigate and adapt to climate change within a global response. The climate change adaptation and mitigation strategies of signatory nations are prioritised and developed through a set of stocktaking and reporting mechanisms under the UNFCCC. For example, all signatories to the convention produce periodic NCs, which report national greenhouse gas inventories and describe national activities to implement the Convention. These NCs include details such as: i) vulnerability assessments; ii) status of financial resources and transfer of adaptation technology; iii) education, training and public awareness; and iv) policies and strategies for climate change mitigation and adaptation. As another example, the TNAs are country-driven processes to identify national technology needs for appropriate adaptation and mitigation activities.

28. The Sendai Framework for Disaster Risk Reduction (SFDRR) 2015-2030 was adopted by UN Member States in March 2015, following on from the Hyogo Framework for Action 2005-2015. This 15 year plan details prioritised actions to reduce the threat and impact of natural hazards associated with climate change. The SFDRR describes seven targets and four priorities for action and provides practical guiding frameworks for member states to coordinate the multiple sectors involved in planning for and responding to disaster risks and increasing resilience to natural disasters. The overall aim of the SFDRR is to substantially reduce disaster risk and losses in lives, livelihoods and health and in the

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<sup>8</sup> Secretariat of the Convention on Biological Diversity. 2009. Connecting Biodiversity and Climate Change Mitigation and Adaptation: Report of the Second Ad Hoc Technical Expert Group on Biodiversity and Climate Change. Montreal, Technical Series No. 41, 126 pages.

economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries. The NAP process is complementary to the SFDRR in its focus on the coordination of planning for medium- to long-term climate change adaptation over multiple sectors.

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

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

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

32. Sustainable Development Goals (SDGs), adopted by the UNGA in September 2015, will build upon the MDGs. At the Rio+20, it was decided to establish an "inclusive and transparent intergovernmental process open to all stakeholders, with a view to developing global sustainable development goals to be agreed by the General Assembly". These goals constitute an integrated, indivisible set of global priorities for sustainable development. Targets are defined as aspirational global targets, with each government setting its own national targets guided by the global level of ambition and tailored to national circumstances. The goals and targets integrate economic, social and environmental aspects and recognise the importance of their interlinkages in achieving sustainable development in all its dimensions.

33. The Expanded NAP GSP will contribute to the following SDGs:

- SDG 1 – End poverty in all its forms everywhere, by reducing the vulnerability of poor communities in LDCs to climate change;
- SDG 5 – Achieve gender equality and empower all women and girls, by promoting gender equity throughout the project and targeting women in training workshops;
- SDG 10 – Reduce inequality within and among countries, by providing technical support to LDCs in particular;
- SDG 13 – Take urgent action to combat climate change and its impacts, specifically:
  - i) 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries, by helping LDCs in medium and long-term planning for climate change;
  - ii) 13.2 Integrate climate change measures into national policies, strategies and planning, by capacity building and strengthening of coordination mechanisms of countries and facilitating the dissemination of knowledge and tools of how to do this, and;
- SDG 16 – Promote peaceful and inclusive societies for sustainable development, provide justice access to justice for all, and build effective, accountable and inclusive institutions at all levels.

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

35. A majority of LDCs have submitted their Intended Nationally Determined Contributions (INDCs), a new type of instrument under the UNFCCC through which Parties intend to submit their commitments for the post-2020 period. Although the guidelines regarding the scope of the INDCs only specified the content of their mitigation aspect, a majority of countries have also chosen to voluntarily include adaptation goals in their submitted INDCs. During support offered to LDCs under the Expanded NAP GSP, INDCs and the adaptation goals and actions contained therein will be consulted so as to ensure the NAP process aligns with what countries have included as voluntary targets in their INDCs.

## **2.5. Stakeholder mapping and analysis**

36. Representatives from all LDCs and development partners also contributing to the NAP process were the key stakeholders for the Expanded NAP GSP. As the project is global in scope, consultations with LDC country representatives and development partners were sought through major climate change-related events, in particular:

- Least developed countries Expert Group (LEG) eastern and southern Africa NAP workshop (Livingstone, Zambia – February 2015); and
- Stocktaking of the Least developed countries Expert Group (LEG) (Bangkok, Thailand – March 2015).

Please see Annex 16 for a summary of the results of these stakeholder consultations.

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

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

37. In the context of global support programmes, it is important to recognise that whatever baseline scenario is noted at the inception of a project, is subject to change quickly and dramatically. In the case of this project, the list of initiatives below are by no means exhaustive to the present or near-future baseline scenario. Ongoing initiatives from development partners, donors, multilateral funds, NGOs other organisations will continue to reshape the support provided to developing country Parties to advance their NAP processes or similar themes<sup>9</sup>. In addition, under the Green Climate Fund (GCF), further support to eligible countries on “readiness” activities is expected. The readiness activities to be supported will be in line with development of NAPs (for climate change adaptation finance eligibility, at least) and can be seen as part of the broader effort of the NAP process to strengthen country systems to access and deliver climate finance for adaptation

38. As a result of the dynamic nature of baseline scenarios, UNDP and UNEP will ensure that proactive efforts and robust mechanisms are in place to enhance coordination with ongoing and incipient initiatives during the implementation of this programme. This coordination will involve, *inter alia*: i) stocktaking of the ongoing and incipient initiatives and their expected outcomes; ii) identifying entry points for synergies and collaboration; and iii) establishing, where appropriate, solid partnerships to provide a seamless, consistent, and congruent support to countries under the different components of the Expanded NAP GSP.

39. Finally, UNDP and UNEP recognise that the Expanded NAP GSP will operate in a time where, regardless of this programme, some 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 programme may therefore have sufficient capacities to make significant contributions (in-kind, in the form of technical assistance, or as additional finance) to the support aimed at progressing their NAPs. Finally, current and future initiatives from partners mentioned above may also account for significant contributions to the Expanded NAP GSP activities in a given country. All these factors should be taken into account when establishing the aforementioned coordinating mechanism so that wherever possible, the additionality of the Expanded NAP GSP is maintained in spite of a dynamic baseline scenario (current and future).

### **Component 1: Direct country support**

40. All LDCs – except South Sudan<sup>10</sup> – have developed urgent and immediate priority projects based on the outcomes of their respective NAPA process. As part of the NAPA process, most LDCs have started various initiatives to create coordination mechanisms to support the integration of climate change adaptation into sectoral and sub-national plans. However, most of these plans are limited to a single ministry domain, and often budgetary allocations made by the central finance ministries do not comprehensively take into account the resources required for adaptation. Addressing climate change in the medium- and long-term requires programmatic approaches within sectors and cross-cutting processes between sectors, particularly environment, planning and finance. Currently, inadequate technical,

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<sup>9</sup> For example: i) improving country systems to better absorb climate change finance; ii) climate change tracking and coding in national and subnational budgets; iii) CPEIRs; iv) integrating climate risks; and v) scenarios and opportunities in development plans at the national and subnational levels.

<sup>10</sup> South Sudan is currently in the process of finalizing its National Adaptation Programme of Action which outlines its urgent and immediate adaptation actions.

institutional and financial support to facilitate this coordination and integration results in limited medium- and long-term planning for adaptation in LDCs.

41. LDCs have called for support to address some of the above-mentioned capacity gaps in undertaking the NAP process and for technical assistance in drafting NAP work plans or roadmaps. In response, the Ongoing NAP GSP, in collaboration with its partner agencies, has provided dedicated in-country targeted assistance to a limited number of countries. One-on-one technical expertise and remote support has been provided for *inter alia*: i) developing terms of reference for laying the groundwork for the NAP process, such as stock-takings; ii) convening and conducting national consultations on the NAP process involving different ministries; iii) facilitating institutional coordination arrangements to initiate a NAP roadmap; iv) mobilising national or international experts within the NAP process; v) developing capacities to access and/or direct/re-direct climate finance to support the NAP process; vi) harnessing technical skills for sectoral vulnerability analyses and economic appraisals of medium- and long-term adaptation options; vii) reviewing planning and budgeting for adaptation, and viii) formulating bankable proposals to access finance for NAP elements and/or roadmaps. The Ongoing NAP GSP provided direct one-on-one support towards one or more of these topics in 15 LDCs<sup>11</sup>.

42. During the Ongoing NAP GSP, the one-on-one support for LDCs described above has required considerable time investments to work closely with requesting countries to pinpoint the support they need. This has required substantial involvement of NAP GSP staff, partners and consultants as technically intensive tasks need to be planned and resourced adequately if meaningful results are to be achieved. This investment of time and expertise has meant that the Ongoing NAP GSP has not been able to attend to all of the requests for support received from LDCs. Indeed, as of December 2015 the programme had received an additional 15 requests for support (over and above the 12 countries that were targeted for direct technical support, therefore 27 requests in total) and this number is likely to increase as more countries begin to undertake the NAP process. Without additional resources, the Ongoing NAP GSP will be unable to attend to all of these requests as it is currently closing. Consequently, the NAP process in those unsupported LDCs risks remaining constrained unless other ongoing initiatives provide particular assistance towards their NAP process.

43. The technical support requested by LDCs is varied, as different countries are in different stages of the NAP process. Many LDCs – including *inter alia* Angola, Haiti, South Sudan, Lao PDR and Lesotho – have yet to officially begin or launch their NAP process. Other LDCs, including Malawi, Nepal and Cambodia, are in the initial stages of the process. Those who have progressed furthest, including Burkina Faso, Ethiopia and Sudan, have produced draft NAP documents (see Annex 16 for further information regarding the progress that different LDCs have made in the NAP process). Whether or not a country has officially begun the NAP process, most countries have completed certain activities that will contribute to medium- and long-term planning for adaptation as a result of the Ongoing NAP GSP. These activities include: i) multi-stakeholder workshops on the NAP process in Benin, Togo and Tanzania; ii) stock-taking of available information on climate change impacts and vulnerability in Cambodia, Lesotho and Niger; iii) establishing interministerial NAP committees to mainstream adaptation into policies and strategies in Zambia and Malawi; iv)

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<sup>11</sup> The countries that have received one-on-one support are: Angola; Cambodia; Djibouti, Niger; Malawi; Comoros; DRC; Gambia; Mauritania; Tanzania; Mozambique; Madagascar; Senegal, Bangladesh and Burkina Faso.

the development of draft NAP roadmaps in, *inter alia*, Bangladesh, Liberia and Tanzania<sup>12</sup>; v) vulnerability and risk assessments in Lesotho and Tanzania; and vi) capacity-building to promote the integration of climate change considerations into development planning in *inter alia* Bhutan, Mali and Mozambique. Understanding the different baseline contexts in each targeted LDC with regards to progress in their NAP process is necessary to inform the one-on-one technical support supplied by the Ongoing and Expanded NAP GSP.

44. It is also important to recognise that the baseline context underpinning requests for support is dynamic, as countries will continue to make progress in their NAP process and/or receive support from other ongoing initiatives. Recognizing this dynamic baseline, the Ongoing NAP GSP provided a tailored one-on-one support that first takes stock of the status of the country, instead of providing a one-size-fits-all solution. A similar approach will be followed in the Expanded NAP GSP.

#### *Co-financing initiatives*

45. The following baseline initiatives from UNDP are providing capacity-building support to national government institutions in LDCs and are considered as cofinancing initiatives for the Expanded NAP GSP.

46. The 4-year **Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (Agricultural NAPs)** project (\$12,000,000), which is currently under implementation, is funded by the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB). Implemented by UNDP and FAO, the project aims to integrate climate change risks and opportunities as they pertain to agriculture sector-related livelihood options within existing national planning and budgeting processes in three LDCs (Nepal, Uganda and Zambia) and five non-LDCs (Kenya, Philippines, Thailand, Vietnam, and Uruguay). The project will achieve this goal through four main pillars, namely: a) strengthening the institutional capacity of key ministries (Agriculture, Environment and Planning) and local government on NAPs; b) developing integrated roadmaps for agriculture sector NAPs; c) improving evidence-based results for NAPs using experimental design frameworks; and d) conducting knowledge sharing and advocacy on NAPs.

47. The Expanded NAP GSP will benefit from the Agricultural NAPs project in several contexts: i) applying best practices and lessons from developing NAP roadmaps for the agriculture sector in LDCs; ii) building on the technical expertise being mobilized by the ICI programme – the Expanded NAP GSP will benefit from a cadre of professionals in the fields of science, technology, gender and economics of adaptation; and iii) capitalizing on the knowledge exchange activities planned under the ICI programme, including regional exchanges on science and technology as well as global outreach regarding UNFCCC processes and the Green Climate Fund. In overlapping programme countries, the Expanded NAP GSP will also coordinate with the BMUB project to promote complementarity to support medium- to long-term planning for the agriculture sector, particularly with regard to developing agricultural sector NAP roadmaps and institutional capacity building (including in-country trainings and development under Outcome 1 and application of tools/training material under Outcome 2). The Expanded NAP GSP will also build on the work that the Agricultural NAPs is planning about increasing awareness of gender issues and mainstreaming gender concerns in the agricultural sector, and extend this to the entire NAP

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<sup>12</sup> Draft NAP roadmaps have also been developed in Burkina Faso, Malawi, Niger and Togo.

process. The Agricultural NAPs project will contribute co-financing of US\$4,000,000 to the Expanded NAP GSP.

48. The Australian Government provided US\$16,000,000 of funding for the **Pacific Risk Resilience Programme (PRRP)** (2013–2018), implemented through a partnership between UNDP and Live & Learn Environmental Education (LLEE). The goal of the programme is to strengthen the resilience of Pacific island communities to climate change and disaster related risk. To do this, the programme's objective is to support a strong enabling environment for risk governance, to empower communities to identify risks and needs, and formulate and implement sustainable responses. In particular, the programme will promote: i) the integration of disaster risk management and climate change adaptation into national development planning and budgeting; and ii) community-level risk management through strengthened resilience and small-scale implementation of the programme's initiatives. PRRP is currently implemented in four Pacific island pilot countries – Solomon Islands, Vanuatu, Tonga and Fiji – selected because of their high-risk profile and potential to demonstrate successful models for regional replication. The programme may be expanded to other Pacific Island countries in 2016.

49. The Expanded NAP GSP will benefit from the ongoing work of the PRRP to integrate disaster risk management and climate change adaptation into different economic sectors. Lessons learned and best practice from the PRRP will inform the technical support provided through Outcome 1 to advance medium- and long-term planning, particularly in Pacific island LDCs. Furthermore, the Expanded NAP GSP will draw on the technical expertise of PRRP staff, as well as the coordination mechanisms among Pacific island countries facilitated by the programme, to deliver Asia-Pacific regional training workshops under Outcome 2. The PRRP will contribute co-financing of US\$4,000,000 to the Expanded NAP GSP.

#### 50. **Component 2: Technical support**

51. LDCs currently have a nascent base of knowledge on climate change impacts, climate vulnerability, and appropriate cost-effective, economically efficient and socially appropriate adaptation interventions. Consequently, planning and finance ministries have limited access to knowledge that is well-organized, appropriately communicated and easily understood. Guidelines for assessing climate change impacts and designing and evaluating adaptation options exist – including for prioritizing and designing national programmes covering important sectors – but support to operationalize and apply these guidelines is limited. Moreover, policy guidance for integrating climate change adaptation into existing national development planning processes is often projectized and restricted to the sectors in which these initiatives are focussed. For example, an LDCF project focussed on climate change adaptation in fisheries may only provide policy recommendations specific to that sector. Consequently, planning ministries continue developing policies and strategies that are not informed by robust, scientific data and evidence-based technical guidelines on managing climate change risks, and/or do not command the requisite national ownership. As a result, appropriate measures for medium- to long-term climate change adaptation are not included in national, sectoral and local policies and plans, or are only done so in a cursory manner to fulfil various obligations under the UNFCCC.

52. To promote medium- and long-term planning for adaptation, various initiatives (see Section 2.7) are providing support to developing countries to advance their NAP processes. These initiatives provide *inter alia* economic guidance (e.g. *Economics of Climate Change Adaptation* and *Green Climate Fund (GCF) Readiness Programme*), sector-specific guidance

(e.g. *FAO-ADAPT* for the agricultural sector and *Strengthening technical skills in Africa to advance NAPs* through GWP for water sector) and tools (e.g. *Climate Protection Programme for Developing Countries* and *PROVIA*) for the NAP process. In addition, the LEG provides overall guidance for the NAP process through publications and training workshops. The NAP Expo, which has taken place annually from 2013, also serves as a platform to introduce aspects of the NAP process and facilitate the exchange of knowledge and best practice among LDCs, international organizations, bilateral and multilateral agencies, as well as individual adaptation experts and practitioners.

53. In addition to these ongoing initiatives, the Ongoing NAP GSP sensitized more than 130 policy and technical officers from ministries of finance, planning and environment on the NAP process. To achieve this, region-based South-South exchanges were organized – through the modality of workshops – in collaboration with all NAP GSP partners. These workshops were tailored to the particular needs of LDCs, as identified through an online survey that took place in the inception phase of the ongoing project. Sessions focused on presenting and understanding the UNFCCC NAP technical guidelines and the elements contained therein, sharing country-based experiences, assessing requirements, opportunities and challenges, multi-sectoral approaches, in the context of mainstreaming adaptation planning into national development planning processes and strategies. Asian government ministerial representatives from 8 LDCs met in Thailand in Feb 2014, followed by meetings of African government ministerial representatives from more than 30 least developed African countries in Ethiopia in April 2014. These regional training events are being followed up by specific national technical and institutional support, in partnership with collaborating organizations and participating LDCs of the Ongoing NAP GSP. Nearly all LDCs<sup>13</sup> have benefited from the regional workshops, which include the following:

- Asia-Pacific LDCs (17-20 February, Pattaya, Thailand). Participating countries: Afghanistan, Bangladesh, Bhutan, Cambodia, East Timor, Lao PDR, Nepal, and Yemen.
- Anglophone Africa LDCs (14-17 April, Addis Ababa, Ethiopia). Participating countries: Angola, Ethiopia, Gambia, Lesotho, Liberia, Malawi, Mozambique, Rwanda, Sierra Leone, Somalia, Sudan, Tanzania, Uganda and Zambia.
- Francophone Africa LDCs (21-24 April, Addis Ababa, Ethiopia). Participating countries: Benin, Burkina Faso, Burundi, Comoros, Djibouti, Guinea, Guinea Bissau, Equatorial Guinea, Madagascar, Mali, Mauritania, Niger, CAR, DRC, Sao Tome and Principe, Senegal, Chad, and Togo.

54. Workshops organized during the Ongoing NAP GSP proved very effective for provision of training and capacity-building on the NAPs to the LDCs and received very good feedback. In particular, LDCs mentioned that these enhanced their understanding of the NAP process and provided information on the variety of tools available at the time that can support the NAP process in each particular country (see Annex 16 of the UNEP PD). The regional trainings that have been undertaken during the Ongoing NAP GSP have set the foundations of basic understanding the NAP process among LDCs.

55. Support was also provided to LDCs through the Ongoing NAP GSP to apply relevant existing tools and methods<sup>14</sup>. A skills assessment approach was developed by UNITAR,

<sup>13</sup> The only LDC to not benefit from regional training workshops was Eritrea, due to government representatives not being able to travel to the regional training workshop in Addis Ababa.

<sup>14</sup> Examples include drawing from existing packages of relevant tools and methods on specific technical issues (e.g. PROVIA guidance on vulnerability impact assessments, economics of adaptation, Decision Support Framework tool for Ecosystem-based Adaptation, Climate Public Expenditure and Investment Reviews (CPEIRs),

under the umbrella of the ongoing NAP GSP, which may be implemented in countries that request training on NAP-related tools and methodologies. Furthermore, the Ongoing NAP GSP prepared a user companion for supporting NAP development with PROVIA Guidance. This provides additional guidance about choosing and applying methods and tools for NAP steps and activities that can be further built on.

56. Despite the support provided through the Ongoing NAP GSP and other related initiatives, many LDCs remain with a nascent understanding of the NAP process. During the consultations conducted for this project, many countries reported an understanding of the principles of the NAP process but remain uncertain about how to apply this knowledge. This is particularly the case for countries that have not benefitted from one-on-one technical support from the Ongoing NAP GSP or related initiatives. Without additional targeted and in-depth training, the integration of climate change adaptation into medium- and long-term planning will remain limited.

57. The application of tools to support the NAP process also remains limited in LDCs. In many instances, only those tools that a country has received specific training on are applied. Additional guidelines, methodologies and tools relevant to the NAP process are currently available or being developed by a range of organisations, including *inter alia* UNDP, UNEP, LEG, UNFCCC, GIZ, FAO and UNITAR (see Annex 17), and this project will continue to oversee other tools that may be developed in the course of its implementation. However, these tools and approaches are not all applicable to the contexts of LDCs. Without a coordinated approach to synthesising these methodologies, making them readily available, contextualising them for LDCs and providing training on how to apply them, many of these tools will remain underutilised in these countries.

#### *Co-financing initiatives*

58. The following baseline initiative from UNEP is considered as a cofinancing initiative for the Expanded NAP GSP.

59. The Danish government has provided US\$3,500,000 for the UNEP DTU Partnership's *Adaptation Mitigation Readiness Project (ADMIRE)* (2014–2016). The objective of the ADMIRE project is to facilitate and provide assistance for private sector involvement in the design, implementation and financing of concrete implementable Nationally Appropriate Mitigation Actions (NAMAs) and actions to support National Adaptation Plans. To do this, the project collaborates with applicants, local experts and national government representatives to identify appropriate models for private sector engagement. All developing countries are eligible for support through the project, including LDCs.

60. By providing support for private sector involvement in NAMAs and NAPs in developing countries, the ADMIRE project is aligned with and will support the objective of the Expanded NAP GSP to strengthen the institutional and technical capacities of LDCs to advance their NAP process. The Expanded NAP GSP will benefit from best practices and lessons learned regarding NAPs through the ADMIRE project and apply these through Outcome 2 of the project. The Expanded NAP GSP will also build on the technical expertise developed and mobilized in the private sector through the ADMIRE project and utilize this in the training workshops supported under Outcome 2. The ADMIRE project will contribute co-financing of US\$800,000 to the Expanded NAP GSP.

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assessment of growth and multi-dimensional poverty impacts of climate change as well as adaptation interventions that are pro-development and pro-poor, and gender and vulnerability considerations).

### 61. **Component 3: Knowledge brokering and scaling up**

62. The sharing of knowledge on advancing medium- to long-term adaptation planning processes in the context of national development strategies between government entities and other stakeholders in LDCs is limited. Consequently, medium- to long-term planning continues in a manner that does not take into account important lessons learned from adaptation planning processes elsewhere. Instead, planning ministries conduct planning exercises that are not cross-sectoral, nor based on best practices. As a result, appropriate climate change adaptation interventions are not integrated into new and existing national policies and strategies.

63. To address the constraints described above, the Ongoing NAP GSP has invested substantially in enhancing knowledge sharing on NAPs. During this project, LDCs have been provided with reliable, updated, and user-friendly products to better understand the NAP process and relate to other countries undertaking similar processes. The programme has launched an interactive web platform, housed currently on UNDP's Adaptation Learning Mechanism (ALM) portal, until it is transferred to an independent website which will group all UNEP-UNDP GSPs together. This platform features programme and partners' news on NAP-related events for LDCs, comprehensive materials from NAP GSP Regional Training Workshops, LDC programme country profile sections focusing on specific national support, and a library of publications, tools and guidelines to support NAP process and learning. The content on this portal focusses on user-friendly and visual presentation of information, with a variety of interactive tools (maps, timelines, presentation slideshows) and multimedia options (country focused films and photo slideshows)<sup>15</sup>. The NAP GSP monthly e-newsletter reaches more than 1,900 subscribers disseminating important NAP GSP related updates and links to further information and resources. The portal also supports North-South and South-South knowledge exchange and provides links to relevant practitioners' networks on NAPs.

64. There are several other networks disseminating information relevant to the NAP process, including CDKN, GAN, APAN and AAKNET however in a piecemeal fashion (see Section 2.7). There are also networks dedicated to the NAP process, including the UNFCCC NAP Portal and the GIZ/USAID/JICA NAP Global Network. LDCs therefore have access to information about the NAP process. However, knowledge management is dynamic and the relevant programmes in place – including the Ongoing NAP GSP – must allow for constant updating of information and upscaling of activities to promote optimal learning opportunities. Additionally, the relevant knowledge networks should be coordinated to facilitate improved sharing of lessons learned and present an integrated body of knowledge products. Currently these dynamic knowledge management and coordination mechanisms are not fully in place. Without this, LDCs will continue to access knowledge in a piecemeal fashion and have limited opportunity to share lessons learned and best practice between networks.

#### *Co-financing initiative*

65. UNDP provided US\$4,900,000 of funding to implement the **Strategic Initiative to Address Climate Change in Least Developed Countries** (aka Boots Programme) (2014–2017). This on-the-ground initiative aims to build capacity for climate change policy in least developed and low-income countries. In particular, the Boots Programme works towards achieving the following outcomes: i) support governments and civil society in their preparations for negotiations with UNFCCC on themes that include climate finance;

<sup>15</sup> This information is available on: <http://www.undp-alm.org/nap-gsp-countries>.

ii) improved capacity of governments and other stakeholders to integrate and implement climate change concerns into development planning and policy processes; iii) mainstream climate change in the UNDP portfolio; iv) improve UNDP's knowledge management and communication of climate change policy; and v) enhance the Country Offices climate change portfolio. To achieve these outcomes, UNDP focused on strengthening the capacity of their Country Office to provide policy advice on climate change at the country level. The Expanded NAP GSP will utilise the improved knowledge management and communication mechanisms established through the Boots Programme to advance knowledge on the NAP process in LDCs. The Boots Programme will contribute co-financing of US\$4,900,000 to the Expanded NAP GSP.

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

66. The Expanded NAP GSP will collaborate with, and build on the lessons learned from a range of related initiatives and bodies. These initiatives include a focus on strengthening the capacities of LDCs to integrate climate change adaptation into medium- to long-term planning. Moreover, a number of such initiatives have developed useful tools and guidance.

67. Initially, the Expanded NAP GSP will be closely coordinated with the Ongoing NAP GSP, facilitating a smooth transition from one support programme to the next. Activities will also be closely coordinated with the SCCF-funded project support programme "Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)", also implemented by UNDP and UNEP. This project aims to promote medium- to long-term planning for climate change adaptation in non-LDC developing countries. Lessons learned, coordination mechanisms, partnerships, training materials, expertise and implementation modalities will be shared across these global support programmes.

68. The Least Developed Country Expert Group (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 developed the guidelines for the NAP process in LDCs. Similarly to the Ongoing NAP GSP, the Expanded NAP GSP will apply the guidelines in LDCs, tailoring as necessary to the local context. Additionally the project will collaborate closely with development partners on related efforts. These include the initiatives described below

69. The objective of the LDCF-funded project "**Building capacity for LDCs to participate effectively in intergovernmental climate change processes**" (2015-2017) is to strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate change efforts. This project is implemented by UNDP and UNEP and is aligned with Expanded NAP GSP as it: i) provides support to countries to enhance adaptation planning at the national level; ii) facilitates the establishment of national systems for collecting, analysing disseminating and archiving climate change information – information that will inform national adaptation plans; and iii) builds the capacity of negotiators, which will improve access to knowledge and increase the likelihood of accessing climate finance. The Expanded NAP GSP will collaborate with this project to strengthen institutional capacity for integrated adaptation.

70. 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 on demand and in support of UNFCCC requirements. The Expanded NAP GSP will build on the institutional and technical capacities that have been strengthened for adaptation through this programme.

71. The **Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA)** provides a cohesive and coordinated global research support and accessibility of Vulnerability Impact Assessment knowledge to policy-makers and other stakeholders. PROVIA aims to strengthen national institutional capacities for vulnerability assessment and adaptation planning, and support national efforts to integrate adaptation measures for climate change into development planning and ecosystem management. The Expanded NAP GSP will utilise guidance and expertise from PROVIA to deliver training on vulnerability impact assessments.

72. The Government of Japan provided US\$2 million to support **Preparedness for Resilient Recovery (PRR)**. This project, implemented by UNDP, aims to prepare governments, civil society and communities for the challenges associated with long-term recovery from climate-related disasters in Ecuador, Bolivia, Cape Verde, Burkina Faso, Niger, Rwanda and Angola. In particular, PRR will provide technical input for policy and institutional frameworks on preparedness for recovery from natural disasters. In participating LDCs, the Expanded NAP GSP will build on the work of the PRR project to integrate long-term planning for adaptation, as well as disaster risk management, into national development plans.

73. The objectives of the **Low-Emission Capacity Building (LECB) Programme** – supported by UNDP, the European Union, the Government of Germany, and the Government of Australia – are to: i) facilitate cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMA); and ii) strengthen technical capacity and facilitate public-private partnerships. The LECB programme lays a critical foundation from which work can be undertaken, including inter alia: 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). Moreover, 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. This methodology will be included in workshops/trainings undertaken within Component 2 of the Expanded NAP GSP.

74. The **UNEP LIVE**<sup>16</sup> portal – launched in January 2014 – offers a dynamic platform to collect, process and share environmental science and research. 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. Expanded NAP GSP can build on these communities of practice – such as GEO SIDS and

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<sup>16</sup> <http://www.uneplive.org/>

SFP COP – by sharing good practices, useful tools developed by other UNEP initiatives and lessons of relevance to medium- to long-term national, sectoral and local planning and harnessing expertise relevant to the NAP process through Outcome 3.

75. The **UNEP Climate Technology Centre and Network (CTCN)** facilitates the international cooperation, development and transfer of technology for climate change adaptation and mitigation. The Expanded NAP GSP 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. Moreover, the CTCN will integrate NAP elements into its adaptation portfolio, and will be available to countries as an additional support mechanism for advancing the NAP process. The CTCN can help securing further technical assistance where requests are beyond the reach of NAP GSP (via a third party CTCN Consortium or Network Member) and can serve as an easy access mechanism for technical assistance support on top NAP priorities that will be presented to LDCs under this project.

76. The **Climate Protection Programme for Developing Countries (CaPP)** is funded by the GIZ. The programme provides tools that have a thematic focus to support the LEG guidelines on the NAP process. Under this programme, GIZ has developed the Stocktaking for National Adaptation Planning (SNAP) tool. This tool enables stocktaking of the planning capacities within a country and thereby identifies entry points for the NAP process. In addition GIZ, in collaboration with UNDP and UNITAR, has developed a NAP country-level training tool (which will be further amended in 2016 to reflect the outcomes of COP21 and its implications on the NAP process) organised through a series of modules and aligned with the main elements of the NAP process (as per the LEG Technical Guidelines), which can be used when providing countries with support to address their particular needs. This tool is already being used in providing countries with one-on-one support under the Ongoing NAP GSP and it will continue being used under the Expanded NAP GSP. The themes for the tools developed through the CaPP include: i) climate information; ii) mainstreaming; and iii) mandate/institutional capacities. The Expanded NAP GSP will build on and promote the GIZ/UNDP/UNITAR Country level NAP Training Programme and other GIZ tools – in particular SNAP – through Outcomes 1 and 2.

The Expanded NAP GSP will work with the following organisations:

The World Health Organisation (WHO)

77. 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 NAP includes vulnerability assessments, economic tools, gender, early-warning systems, indicators for health system resilience and other health sector-related NAP guidance. The Expanded NAP GSP will promote this guidance as part of a cross-sectoral approach to advancing the NAP process.

The Global Water Partnership (GWP)

78. GWP is implementing a number of programmes that support NAP processes relating to water in LDCs, for example the Strengthening technical skills in Africa to advance NAPs programme. The Expanded NAP GSP will build on these programmes through further technical capacity development within the water sector. Moreover, 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 Expanded NAP GSP

will publish knowledge on good practices, lessons learned and case studies from the water sector under Outcome 3, thereby building on these platforms.

#### Food and Agriculture Organisation (FAO)

79. Through the framework programme FAO-Adapt, FAO is promoting medium-to long-term adaptation to climate change 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 – that supports LDCs to advance the NAP process. The Expanded NAP GSP will work closely with the FAO to leverage this information, knowledge and technical expertise to promote medium- to long-term adaptation in LDCs. For example, relevant knowledge will be disseminated into – and drawn from – dedicated knowledge and programming initiatives undertaken by the FAO on climate smart agriculture.

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

80. 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 US\$300 million 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\$1 billion per year of new investments. These investments target *inter alia*: i) strengthening infrastructure<sup>17</sup>; ii) enhancing natural infrastructure, such as increasing the resilience of riparian areas; and iii) developing information/'software' infrastructure<sup>18</sup>. The Expanded NAP GSP will increase and disseminate the information, knowledge and technical guidance provided by IFAD, through knowledge-sharing activities under Component 3.

#### UNITAR

81. One UN Climate Change Learning Partnership (UN CC:Learn) implemented by UNITAR is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further phase of funding (2014-2017). Learning material from this and other UNITAR initiatives will be utilised in the training provided the Expanded NAP GSP.

82. The Expanded NAP GSP will coordinate with the following networks to disseminate knowledge on climate change adaptation to promote medium- to long-term adaptation planning knowledge:

- NAP Global Network;
- Global Adaptation Network (GAN);
- The Asia-Pacific Adaptation Network (APAN);
- Africa Adaptation Knowledge Network (AAKNet); and

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<sup>17</sup> Including *inter alia* processing facilities, small water-harvesting infrastructure, flood protection measures, rural water supply, water storage facilities (above-ground and underground) and efficient irrigation systems.

<sup>18</sup> Including *inter alia* 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).

- Communities of Practice (CoPs) within the Asia-Pacific Adaptation Network (APAN) and ADAPT- Asia Pacific “Knowledge Sharing Strategies and Platform”.

83. The Expanded NAP GSP 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 and provides advocacy in African countries for environmental management as well as guidance on political events relating to environmental management.
- The Secretariat of the Pacific Community (SOPAC) Applied Geo Science and Technology Division has the objective to apply geoscience and technology to promote development and data-driven adaptation within Pacific Island countries. The Division provides assistance to member countries through the following technical programmes: i) Oceans and Islands Programme; ii) Water and Sanitation Programme; and iii) Disaster Reduction Programme. Technical support is provided across member countries that promote South-South and North-South cooperation on technical themes, including natural resource economics, GIS and remote sensing, technical equipment and services and data management.
- The Caribbean Community (CARICOM) Secretariat promotes the achievement of a number of economic development goals. Among other objectives, the secretariat improves knowledge sharing in the Caribbean region.
- The Forum of Ministers of Latin America and the Caribbean is a forum which convenes every year – provides advice to countries in the LAC region on advocacy for environmental management as well as guidance on political events relating to environmental management.
- The International Centre for Climate Change and Development (ICCCAD) supports growing capacity of Bangladesh stakeholders, while enabling international stakeholders and organisations to benefit from training in Bangladesh, where they are exposed to knowledge from the growing field of climate change adaptation. 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 – with similar backgrounds and expertise but with different nationalities, particularly Asian and African – receive training from three international resource experts. 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. The Expanded NAP GSP will integrate information from ICCCAD into training and workshop materials that are developed within Components 2 and 3.
- The Nazca Climate Action portal – launched with a first group of non-state actors – will progressively showcase the extraordinary range of game-changing actions being undertaken by thousands of cities, investors and corporations for adaptation to climate change. Many of these actions – ranging from increases in energy efficiency and deployment of renewables to carbon pricing policies and investments in adaptation – are happening in partnership with governments, organisations and international bodies, including the United Nations.
- UNITAR and the University of Geneva’s online courses on National Adaptation Plans and climate change adaptation in Small Island Developing States (SIDS).

## SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

### 3.1. Project goal and objective

84. To overcome the above-detailed barriers that are preventing the preferred solution from being implemented, the **goal** of the programme is to facilitate effective medium- to long-term planning for adaptation to climate change in LDCs. The **objective** of the Expanded NAP GSP is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. LDCF resources of US\$6,200,000 are requested for the period 2016–2019 to expand the support provided through the Ongoing NAP GSP by delivering additional, more in-depth technical support to an increased number of LDCs. In particular, the Expanded NAP GSP will build on the Ongoing NAP GSP in the following ways:

- **Expanding institutional support.** At least 20 LDCs – including new countries that request support and some that benefited from the Ongoing NAP GSP but request additional follow-up support – will be assisted in the strengthening of existing institutions, development of NAP roadmaps and advancement of the NAP process, depending on the needs of the requesting country. This strengthened institutional capacity will enable the LDCs to advance medium- to long-term planning for climate change adaptation, within the context of national development plans and strategies.
- **Providing technical support.** Building on those tools developed under the ongoing NAP GSP, tools and methodologies that support key steps of the NAP process will be developed or adapted and made available to LDCs. Targeted training, including on the developed tools and methodologies, will also be provided through regional training workshops.
- **Knowledge brokering.** The exchange of knowledge and lessons learned (e.g. through South-South and North-South cooperation) will be further facilitated, with a view to enhancing capacity for advancing the NAP process within LDCs. Importantly, an exit strategy to maintain these knowledge sharing mechanisms beyond the lifespan and budget of the programme will be developed for terminal phase of the Expanded NAP GSP.

### 3.2. Project rationale and policy conformity

85. In response to the invitation at COP-17, UNDP and UNEP have implemented the Ongoing NAP GSP for advancing medium- and long-term national adaptation planning in LDCs. The demand for the support that has been provided by this project to LDCs is increasing and is expected to increase further in accordance with the importance placed on this process by the UNFCCC and the LEG. However, the Ongoing NAP GSP is scheduled to end in December 2015.

86. Given the limited capacity of LDCs to plan for the negative effects of climate change, there is an urgent need to expand support provided by the Ongoing NAP GSP and continue strengthening the institutional and technical capacity of LDCs to adapt to these effects in the medium- to long-term. This capacity-building support should be provided within the context of sustainable development, at both national and sub-national scales.

87. The Expanded NAP GSP will continue to provide **institutional and capacity development support** to LDCs. It will actively assist countries in undertaking new initiatives – as well in leveraging ongoing initiatives that support capacity needs assessments – to strengthen national capacities for: i) vulnerability analysis particularly focusing on country-specific priority sectors; ii) economic assessment of adaptation options; iii) climate-resilient

planning and budgeting (taking gender into consideration); iv) policy development; v) coordination and collaboration capacities; vi) leadership capacities; and vii) management capacities (for example financial readiness and M&E). This will be undertaken in coordination with other donor-supported programmes for capacity development (see Section 2.7). Fostering coordination between different line ministries will also help to identify and align the programme with relevant ongoing and planned initiatives pertaining to national planning and budgeting.

88. In terms of **technical support** to assist countries to advance NAPs and produce operational NAP roadmaps, the programme will continue to support countries to translate guidance emerging from the LEG and other relevant processes into policy-relevant analysis. It will also train national staff on integrating adaptation into medium- to long-term national planning and budgeting. Through the Expanded NAP GSP, impartial advisory support will also be provided to LDCs, upon request, for: i) stocktaking and analysis of existing assessments and enabling policies; ii) NAP country level trainings for inter-ministerial teams and facilitation of NAP dialogues iii) identification of additional assessments needed to operationalize the NAP process, for example new assessments needed may have a sectoral or thematic focus; iv) analyses of the economic effects of climate change, including cost-benefit analyses of adaptation options; v) appraisal of adaptation options; vi) formulation of bankable NAP projects; vi) tracking of adaptation expenditure and budgeting for adaptation in development plans; viii) analysis of climate scenarios and climate models; and ix) application of climate information for improved adaptation planning. Following on from the Ongoing NAP GSP, the programme will continue to develop and update indicators for reporting, monitoring and evaluating progress on the NAP process, as required by the COP decision. The programme will also assist – if countries request it – with i) reporting and monitoring; and ii) reviews of, and advice on, NAP documents prior to their official submission to the UNFCCC.

89. To advance the NAP process in LDCs, **brokering of knowledge** will be undertaken through the programme to provide all LDCs with a range of knowledge products and services on adaptation planning for the medium- to long-term. To ensure that knowledge-sharing on NAPs continues indefinitely, the programme will: i) build on the repository of technical documents of relevance to LDCs that have been collated through the Ongoing NAP GSP; and ii) synthesise good practices and lessons learned and (iii) support virtual and face to face south-south exchange through knowledge sharing using existing platforms. The programme will therefore facilitate improved access to the best available and most relevant scientific information and expertise for LDCs. Moreover, South-South and North-South collaboration will be promoted by strengthening relationships and partnerships with agencies and institutions involved in the NAP process, including those established during the Ongoing NAP GSP and the NAP GSP for non-LDCs. This collaboration will complement the existing UNDP- and UNEP-supported knowledge networks and platforms<sup>19</sup> and extend to emerging adaptation knowledge platforms such as IFAD's Adaptation for Smallholder Agriculture (ASAP) Programme<sup>20</sup> and WHO support platforms on health and climate change (see Section 2.7). The programme will also track and report on progress to the public through a

<sup>19</sup> For example, the UNEP Global Adaptation Network and its regional networks, and the UNDP Adaptation Learning Mechanism.

<sup>20</sup> ASAP was launched by IFAD in 2012 to increase the climate resilience of 8 million smallholder farmers in poor developing countries. A large scale adaptation financing window, ASAP grants are programmed back to back with regular IFAD programmes, influencing around 1 billion US\$ of new investments. ASAP has a substantive knowledge management component to help countries integrate effective adaptation planning into agricultural programmes and policies (<http://www.ifad.org/climate/asap/>).

dedicated website that was established through the Ongoing NAP GSP, allowing *inter alia* donors and technical institutions to identify opportunities to further assist LDCs in their NAP processes.

Institutional Support	Technical Support	Brokering Knowledge
<p><b>Laying the Groundwork and Addressing Gaps</b></p> <ul style="list-style-type: none"> <li>Facilitating NAP dialogues</li> <li>Stock-taking exercise to clarify gaps in existing information on climate change impacts and needs</li> <li>Identifying existing policies and strategies of relevance</li> <li>Mapping of institutional arrangements, mandates and capacities for overall coordination and leadership on adaptation</li> <li>Inclusion of gender analysis into the NAP process</li> </ul>	<p><b>Preparatory Elements</b></p> <ul style="list-style-type: none"> <li>Design roadmaps and proposals for climate resilient development</li> <li>Assessment of mid- to long-term adaptation needs</li> <li>Country-level NAP trainings</li> <li>Specialised capacity building support on economics of adaptation and adaptation appraisal</li> <li>Facilitate analysis of national and sub-national development and sectoral planning</li> <li>Participatory consultations, communications and awareness-raising</li> </ul>	<p><b>Implementation Strategies</b></p> <ul style="list-style-type: none"> <li>Prioritising based on roadmaps</li> <li>Delivery of training and other technical support needs</li> <li>Raising awareness and supporting alignment of donor assisted initiatives of relevance to medium and long-term climate resilient development</li> <li>Dissemination of information</li> </ul>
<p><b>Reporting, Monitoring and Review</b></p> <ul style="list-style-type: none"> <li>Conduct reviews</li> <li>Codify and disseminate lessons</li> <li>Support country-level monitoring of planning process</li> <li>Communicate progress</li> <li>Face-to-face and virtual exchange of knowledge on the NAP process</li> </ul>		

**Figure 1.** Potential Country-Level Services offered by the Expanded NAP GSP, in alignment with the main elements of the LEG technical guidelines.

90. The Expanded NAP GSP will assist LDCs with several aspects of the NAP process aligned with the main elements of the LEG Technical Guidelines (see Figure 1). Recognising that LDCs are in very different stages of adaptation planning and implementation, the programme will work with countries in a flexible manner, taking into account their specific needs and circumstances. For example, it will be necessary to take stock of on-going, country-driven initiatives – including those financed by bi- and multi-lateral entities – that support medium- to long-term climate-resilient planning and budgeting (see Annex 17). Moreover, information gaps, capacity requirements, priority needs and other inputs to advance deliverables will need to be identified early on in the NAP process.

91. National and sub-national stakeholders will be mobilised and encouraged to take ownership of the NAP process from its inception. Lessons learned from previous experiences – including the Ongoing NAP GSP – show that it is essential to not only engage high level leadership from the outset, but also to clarify the roles and responsibilities of each stakeholder, particularly if the support is to be cross-cutting and ensure integration into existing development plans and budgets. The scope of engagement for such stakeholders will be clearly defined, based on country needs.

92. Countries will be supported in their efforts to carefully design the institutional and coordination arrangements necessary for planning and implementing climate change adaptation, which will also feed into the NAP process. In this regard, it will be important to recognise that it is beyond the domain of environmental ministries to ensure that a country's

adaptation to climate change is effective. Importantly, national coordinating bodies and actors – notably ministries of finance and planning – will need to engage in the NAP process from the beginning of the programme.

93. The Expanded NAP GSP will build on and complement – rather than duplicate – other relevant support provided to LDCs. In particular, the mechanisms, tools and training packages that have been developed through the Ongoing NAP GSP and partners will be used, rather than developing new ones. Moreover, the Expanded NAP GSP will draw on, synthesise and make available relevant guidance, methodologies and tools (for example sector specific guidance, see Annex 17) from similar initiatives. This collaboration and complementarity will be promoted through close coordination with the LEG, which has developed and disseminated technical guidelines on the NAPs and other existing initiatives at the national and sub-national level, and from the GIZ/UNDP/UNITAR collaboration for a NAP Country Level Training Package Existing knowledge platforms – such as the Adaptation Learning Mechanism (ALM), Asia Pacific Adaptation Network (APAN), Africa Adaptation Knowledge Network (AAKNet), Global Adaptation Network (GAN) and NAP Central – will be used for LDCs to share information about relevant experiences, good practices and lessons learned from the preparation and implementation of NAPs.

94. The institutional and technical capacity needs will differ from country to country depending on national circumstances and therefore services from the programme will be tailored based on the specific context of each LDC and the nature of the request for support. Services will be customised around provision of stock-taking of policy, sectoral and cross-sectoral activities, facilitating NAP dialogues, providing NAP training for country teams and specialised training on economics of adaptation and use of climate information for decision-making. To assess programme results, a unified monitoring and evaluation system of deliverables and indicators (see Project Results Framework in Annex 3) has been developed to chart progress and to serve as a management tool.

## **Policy conformity**

### LDCF conformity

95. Expanded NAP GSP is consistent with the LDCF mandate to support adaptation in all vulnerable developing countries. In particular, the project is aligned with the GEF VI programming strategy for LDCF projects. The following GEF Focal Area Objectives are addressed in the project:

- CCA-2 – Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritise, implement, monitor and evaluate adaptation strategies and measures.
- CCA-3 – Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened.

### Gender considerations:

96. Comprehensive consideration of gender issues is a prerequisite for sustainable development. The Expanded NAP GSP will build on some of the lessons learned from the Ongoing NAP GSP in order to improve gender mainstreaming in the projects. The project will mainstream gender considerations through the approaches described below.

- Participation from relevant ministries in all of the programme's activities will be encouraged to ensure that the needs and challenges of women, youth, and other

marginalised population groups are represented in the NAPs national teams (e.g. inclusion of relevant ministries and women's group).

- One-on-one technical support provided to countries will include gender analyses and facilitating the mainstreaming of gender considerations into climate change adaptation plans, as well as the sensitization to the need to integrate this.
- LDCs will be encouraged to invite female participants to the regional targeted training workshops, in line with relevant national gender equity targets of participating countries and international agreements, such as the Fifth Sustainable Development Goal.
- A separate training module on gender and long-term adaptation planning will be developed and delivered at least once in each of the three regions.
- 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.
- Partnerships with relevant organisations, such as UN Women and GGCA, will be explored to ensure that the technical support and training provided through the programme is gender-sensitive and inclusive.
- Knowledge generated by the project will be gender-sensitive, ensuring inclusion and sensitivity towards differences among target audiences.
- Expanded NAP GSP will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.
- Gender specific indicators and targets have been included in the project results framework to monitor the progress of gender mainstreaming in the programmes activities.
- Gender-specific allocations are specified in the budget (see budget notes).

97. 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 prioritised.

#### Overall GEF conformity

98. The Expanded NAP GSP has been designed to meet overall GEF requirements in terms of implementation and design. The following core GEF criteria have been addressed.

- **Sustainability:** capacity building of line and planning ministries and user groups are project priorities. Moreover, an exit strategy will be developed for the knowledge-sharing platform that was developed through the Ongoing NAP GSP. Results and best practices will be documented and shared through: i) the knowledge platform under Outcome 3; and ii) trainings and workshops under Outcomes 1 and 2. See Section 3.8 on sustainability for more information.
- **Replicability:** the project will systematically document the activities, management decisions, strategies, results and lessons learned. Such information will be used to guide advancement of the NAP process in LDCs (refer to Section 3.9 for more information on replication).
- **Monitoring and evaluation (M&E):** the project design includes an effective M&E framework that will enable ongoing adaptive management. See Section 6 on M&E for more information.

- **Stakeholder involvement:** the project design was developed through extensive stakeholder consultations (see Section 2.5). Moreover, the design of the Expanded NAP GSP will ensure that a range of stakeholders is engaged throughout the project implementation phase.

### 3.3. Project components and expected results

#### Component 1: Direct country support (overseen by UNDP)

**Outcome 1: LDCs have enhanced capacities to advance medium and long-term adaptation planning processes in the context of their national development strategies and budgets.**

**Co-financing amount for Outcome 1: US\$8,000,000**  
**LDCF Project grant requested: US\$3,300,000**

With LDCF resources, Outcome 1 of this programme will provide tailored one-on-one technical support to LDCs to assist them to advance their medium to long-term adaptation planning processes in the context of their national development strategies and budgets. This technical support will:

- follow up on the initial support provided to requesting countries by the Ongoing NAP GSP with more in-depth training in specific areas in collaboration with aligned initiatives (Section 2.7) to address capacity gaps identified through the programme;
- provide technical support to requesting countries not covered under the Ongoing NAP GSP including those that have already requested support but have yet to receive it and others that officially request support from the programme at a later time;
- be tailored to the specific national context of each recipient LDC; and
- address capacity gaps identified by each LDC, including *inter alia*: i) stocktaking of climate information required to formulate a NAP; ii) analysis of climate scenarios and climate models; and iii) cost-benefit analyses of different adaptation options (see Annex 16 for additional information on the technical needs identified by LDCs).

The tailored one-on-one technical support will therefore include *inter alia*, the following activities:

- stocktaking of capacity gaps and needs;
- stocktaking of policy frameworks, existing thematic and sectoral assessments;
- stocktaking of policy frameworks for gender mainstreaming and strengthening the enabling environment for gender equality in climate change adaptation;
- facilitating NAP stakeholder dialogues;
- delivering UNDP/UNITAR/GIZ country level training package for interministerial NAP teams;
- conducting gender analyses and facilitating the mainstreaming of gender considerations into climate change adaptation plans;
- training on the economics of climate change adaptation – and cost-benefit analyses of adaptation options;
- appraising adaptation interventions;
- providing technical assistance on different NAP elements, including support towards formulating bankable proposals to access finance for such NAP elements and/or roadmaps;

- tracking and coding of adaptation expenditure and budgeting for adaptation in development plans;
- analysing climate scenarios and climate models;
- training on gender-sensitive monitoring and evaluation of the NAP process;
- training on the application of climate information for improved planning; and
- facilitating institutional coordination arrangements to initiate a NAP roadmap.

Importantly, the Expanded NAP GSP will build on lessons learned from the ongoing programme, with the objective of applying a more catalytic approach in building adequate capacities and facilitating the coordination of relevant ministries as they advance in their NAP process. The specific output and activities include:

*Output 1.1 Tailored one-on-one support to LDCs to initiate or advance their NAP process, including but not limited to, support to develop NAP roadmaps.*

*Activity 1.1.1:* Conduct a stocktaking of completed/ongoing initiatives and undertake stakeholder consultations to identify gaps and needs in key institutional and technical capacities required for the NAP process. Stock-taking can also include gender analyses and sectoral or thematic assessments.

*Activity 1.1.2:* Facilitate inter-ministerial dialogue and in-country training – to key national and sub-national institutions – on integrating climate change into medium- and long-term planning.

*Activity 1.1.3:* Formulate NAP roadmaps in consultation with relevant national stakeholders. These stakeholders should include women's groups.

*Activity 1.1.4* Provide tailored, in-depth follow-up support to requesting LDCs in areas such as adaptation appraisal, applying gender analysis to ongoing programmes and climate information and modelling to support countries that are more advanced in the NAP process. This support can also include sectoral or thematic assessments to assess feasibility of adaptation options to be scaled up through financing sources such as the GCF.

## **Component 2: Technical support**

**Outcome 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs.**

***Co-financing amount for Outcome 2: US \$800,000***  
***LDCF Project grant requested: US\$2,000,000***

Under Outcome 2, user-friendly tools and methods will continue to be adopted or modified as per the NAP context and offered for use to LDCs to inform a comprehensive and iterative NAP process. There will be an emphasis on harnessing existing tools and manuals developed by NAP GSP partners rather than developing new ones (see Annex 17). For example, the PROVIA companion guidance will be further developed and tested to guide the VIA assessment for specific sectors. There will also be an emphasis on tools and manuals to mainstream gender considerations into climate change adaptation strategies, such as the IUCN/UNDP/GCCA Training Manual on Gender and Climate Change<sup>21</sup>.

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<sup>21</sup> Other tools include the UNDP guidebook: Gender, Climate Change, and Community-Based Adaptation: A Guidebook for Designing and Implementing Gender-Sensitive Community-Based Adaptation Programmes and Projects

The tools and guidelines provided through the Expanded NAP GSP will cover topics identified in consultation with LDCs such as: a) development and application of climate scenarios; b) vulnerability and risk assessments; c) cost-benefit analyses of adaptation interventions; d) CPEIRs; e) financial costing of adaptation interventions; and f) decision support frameworks for choice of adaptation options in various contexts. The programme will enhance access to training and knowledge on the application of tools for the NAP process by: a) reviewing and updating the current available tools; b) promoting the use of the revised tools; c) developing a training package; and d) promoting knowledge sharing on the application of the tools across sectors. This will enhance capacity to undertake the NAP process through improving the availability and awareness of the tools as well as increasing national stakeholders' technical skills to apply the relevant tools to inform medium- to long-term adaptation planning. For instance, tools developed will be piloted under Outcome 1 during the provision of one-on-one support to LDCs.

The regional trainings that have been undertaken during the Ongoing NAP GSP have developed a foundational understanding the NAP process among LDCs as well as the elements of the NAP Technical Guidelines. Through the Expanded NAP GSP, enhanced and in-depth training will be provided to LDCs through a new series of targeted training workshops. These workshops will be hosted at the regional level in collaboration with NAP GSP partners. The training provided at these workshops will address different topics that have emerged as priority during the Ongoing NAP GSP and stakeholder consultations including *inter alia* i) adaption planning and climate change finance; and ii) long-term, sector-specific vulnerability assessments and identification of appropriate adaptation options. The regional training workshops will be conducted with the following guiding principles.

- Separate training workshops will be convened for the West Africa (Francophone Africa), Southern/East Africa (Anglophone Africa) and the Asia/Pacific regions. Haiti, a French-speaking Caribbean nation, will be invited to join the West Africa workshop.
- A total of 6 training workshops – two per region – will be convened over the course of the project.
- At least three participants from each LDC will be invited for training. LDCs will be supported by project staff and workshop facilitators to identify participants. Relevant national gender equity targets of participating countries and international agreements, such as the Fifth Sustainable Development Goal<sup>22</sup>, will guide the recruitment of participants. The project will promote the identification and nomination of female participants.
- A training module on gender and adaptation planning will be developed and delivered at least once in each of the three regions. This will be further explored with partners (UN Women and GGCA).
- The agenda for the training will include – but will not be limited to – priority topics identified by LDCs during the stakeholder consultations: i) gender mainstreaming; ii) adaption planning and climate change finance; and iii) long-term, sector-specific vulnerability assessments and identification of appropriate adaptation options. Additional training topics will be identified through a survey of LDCs to identify newly emerging priority training needs.
- The training provided will be based on interactive and participatory learning approaches.
- Existing expert networks (such as those established by the Ongoing NAP GSP and other related projects) will be used to invite workshop trainers and facilitators.

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<sup>22</sup> Achieve gender equality and empower all women and girls

The workshops and tools provided through the Expanded NAP GSP will build on the achievements of Ongoing NAP GSP. The expansion of this ongoing support to advance the NAP process will provide the opportunity for all LDCs to advance their NAP process beyond the sensitisation stage. Specific outputs and activities under this outcome are described below.

*Output 2.1 Training packages – including tools, methods and guidelines – developed for LDCs to advance their NAP process.*

*Activity 2.1.1:* Undertake a survey directed at LDCs to identify newly emerging priority training needs for the NAP process.

*Activity 2.1.2:* Identify new and existing training materials, methods and tools (building on those identified during the first phase of NAP GSP and including those tools that have been since developed) that could be used for advancing the NAP process and adapt them for LDCs.

*Activity 2.1.3:* Promote the use of existing training materials, methods and tools through intergovernmental processes (e.g. side events at SBIs/SBSTAs and NAP Expo) and the knowledge and information systems established through Output 3.1. to further the NAP process in LDCs.

*Activity 2.1.4:* Develop training packages, including existing/adapted tools methods and guidelines, for specific priority needs identified.

*Output 2.2 National technicians from LDCs trained on assessing long-term vulnerability to climate change and relevant adaptation options through targeted training workshops.*

*Activity 2.2.1:* Organise regional targeted training workshops for: i) national technicians from planning, environment and finance ministries (and other ministries as relevant) on adaptation planning and climate change finance; and ii) national technicians from climate change vulnerable sectors, such as agriculture and water, on long-term vulnerability assessments and identification of appropriate adaptation options.

*Activity 2.2.2:* Disseminate the training materials and information generated through the regional training workshops on the NAP-GSP website.

### **Component 3: Knowledge brokering and scaling up**

***Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.***

***Co-financing amounts for Outcome 3: US\$4,900,000***

***LDCF project grant requested (UNEP): US\$304,762***

***LDCF Project grant requested (UNDP): US\$300,000***

Additional LDCF resources are needed to maintain and scale-up the communication and knowledge exchange achievements of the Ongoing NAP GSP. These resources will be used to: i) gather and share examples of best practice and programme effect; and ii) enhance knowledge exchange. Moreover, additional interactive materials and outreach – including interactive NAP tools and multimedia – will be developed to demonstrate NAP support and enhance South-South and North-South learning and exchange.

During the Ongoing NAP GSP, it has become evident that knowledge management must not only provide an interactive platform for exchange, but also focus on virtual training

mechanisms, which are more cost effective and can be documented, accessed, and replicated easily. During the Expanded NAP GSP, an exit strategy will be designed – with the collaboration of the wide network of GSP partners – to promote further analysis of experiences gained through the Ongoing NAP GSP and inform training modules. Building on the piloted webinar mechanism developed within the Ongoing NAP GSP, a series of regular webinars will be designed to disseminate technical expertise and provide ‘virtual partnering’ to participating LDC governments. These webinars will be developed and coordinated by UNDP with input from programme partners, such as UNITAR. Moreover, NAP technical guidance relevant to LDCs will be integrated into existing training modules on adaptation to climate change from programme partners and associated networks.

While no separate workshops will be held under Outcome 3, the knowledge and training packages generated under Outcome 2 (including those on gender and adaptation planning) will be collated and integrated into knowledge-sharing platforms under Outcome 3. The web platform established under the Ongoing NAP GSP will continue to be upgraded and improved, with a particular focus on enhancing online training aspects. Moreover, links that have been established through the Ongoing NAP GSP to integrate NAPs into other learning modules from partner agencies (for example the UNFCCC NAP Portal and the NAP Global Network) will be strengthened. In addition, knowledge products, best practices and lessons learned on the NAP process – including long term planning and budgeting – will be disseminated to all LDCs through the workshops within Component 2.

Finally, as part of the exit strategy, this Outcome will coordinate with and build on the platform for public-private partnership established through the SCCF NAP GSP “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” 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 or studies on investment opportunities. Along with these entry points, the project can provide technical guidance to a few selected LDCs 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. The lessons learned through this process will be shared through with all LDCs through the strengthened knowledge-sharing platforms to promote South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

*Output 3.1 Information from North and South experiences, good practices and lessons of relevance to medium- to long-term national, sectoral and local planning and budgeting processes are captured, synthesized and made available to all LDCs (UNEP).*

*Activity 3.1.1:* Promote thematic discussions through existing networks – such as APAN and AAKNet – by identifying topics for discussion and appointing facilitators.

*Activity 3.1.2:* Develop knowledge products with good practices and case studies for medium- to long-term adaptation planning.

*Activity 3.1.3:* Synthesise information generated through the NAP-GSP activities and share this information through quarterly newsletter, networks, websites and LISTSERVE.

*Activity 3.1.4:* Share NAP good practices in side events during COP and/or SBs and at NAP Expo.

*Output 3.2: Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation (UNDP).*

*Activity 3.2.1: Synthesise lessons learned and experience gained through the NAP-GSP to inform NAP training modules, in collaboration with NAP-GSP partners*

*Activity 3.2.2 Work with regional platforms for South-South face to face and virtual exchange for science/policy interface, adaptation knowledge exchange and climate finance issues.*

*Activity 3.2.3: Develop web-based training materials, which will continue to be available after the project finishes, for the NAP process with partner institutions such as UNITAR.*

*Activity 3.2.4: Host webinars and knowledge exchange forums (in collaboration with regional knowledge platforms) to disseminate technical expertise.*

*Activity 3.2.5: Identify entry points and formulate business cases for private sector involvement in NAP processes in at least 3 applicable LDCs – coordinating with the platform for public-private partnership established through the SCCF NAP GSP “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” – and share lessons learned.*

### 3.4. Intervention logic and key assumptions

99. The Expanded NAP GSP assumes that participating LDCs will have developed sufficient technical and institutional capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes with limited external support. However, experience from the Ongoing NAP GSP shows that there are varying degrees of progress and similarly varying degrees of support needs among developing countries. For this reason, the project interventions are designed to establish systems to provide continued support to LDCs beyond the project's duration (see Section 3.8).

### 3.5. Risk analysis and risk management measures

100. A number of risks threaten the success of the programme. These risks are summarised in Table 1, along with appropriate countermeasures and management responses to minimise the potential threat posed by the specific risk.

**Table 1. Risks, consequences and countermeasures for consideration in establishment of the support mechanism.**

#	Description	Date Identified	Type <sup>23</sup>	Impact & Probability <sup>24</sup>	Countermeasures / Management response
1	Problems related to involvement and cooperation of stakeholders providing the project team with data	PPG	Political and organisational	P=3 I=5	Clear commitment of the Ministry to data collection and dissemination of data
2	Governments will not have funds to sustain the national arrangements, once	PPG	Financial	P=1 I=5	Awareness raising among decision-makers  Outreach potential donors

<sup>23</sup> Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

<sup>24</sup> Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Date Identified	Type <sup>23</sup>	Impact & Probability <sup>24</sup>	Countermeasures / Management response
	the project ends				<p>Actors will be targeted in the Expanded NAP GSP including ministries of finance</p> <p>Partnerships with bi-laterals, private sector, and other entities will be actively promoted and sought during the project implementation</p>
3	Conflicts among stakeholders with regard to roles in the project	PPG	Political and organisational	P=2 I=3	<p>Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles</p> <p>Lessons learned through the Expanded NAP GSP are integrated into stakeholder involvement plans and consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation.</p>
4	Lack of political will to support the project	PPG	Political and strategic	P=1 I=4	<p>Awareness raising among the decision-makers.</p> <p>Building on lessons learned during the Ongoing NAP GSP</p> <p>Develop leadership/ champions for change.</p> <p>A strong stakeholder involvement plan has been developed (and will be confirmed during the Inception Workshop) to provide support to the project</p> <p>Support will be given to government to organise consultations on project progress at key stages in order to maintain government ownership</p>

#	Description	Date Identified	Type <sup>23</sup>	Impact & Probability <sup>24</sup>	Countermeasures / Management response
					and interest in the project  Collaboration with other cooperation projects which will help to maintain political visibility
5	Poor coordination	PPG	Leading to delays in deliverables	P=3 I=3	Clear Project Management arrangements
6	Limited capacity within relevant ministries/ insufficient qualified human capacity	PPG	May limit/delay project implementation/ completion	P=3 I=2	A focus of the project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives, for example those with national climate change learning strategies already in place

### 3.6. Consistency with national priorities or plans

101. A country-driven approach is necessary to develop the requisite capacity for advancing medium- to long-term adaptation planning. Support from the Expanded NAP GSP will therefore be guided by national circumstances in each targeted country including i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) national 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.

102. Following the COP-17 decision, the proposed support mechanism will target LDC governments that have ratified the Climate Change Convention. As non-Annex I parties, all LDCs are eligible to access GEF/LDCF resources and thus to receive assistance from this support mechanism. While most LDCs have completed their NAPA process and Initial NCs to UNFCCC – with many of these countries currently developing the Second NCs – non-completion of these reporting requirements does not preclude LDCs from receiving support from the support mechanism. However, activities envisaged under the mechanism will draw heavily on experiences from these exercises. Furthermore, the steady progress that LDCs have made in this regard is important to note in gauging their willingness and potential for successful and meaningful implementation of activities through the support mechanism.

103. The Expanded NAP GSP is consistent with the needs expressed by LDCs for advancing the NAP process. These needs were raised: i) during meetings in Vientiane and Durban in 2011; ii) in the subsequent submissions of LDCs in response to the decisions at COP-16 , COP-17 , SBI 40 , and COP-20 ; iii) during LEG NAP Expos held in June 2013 and August 2014; and iv) in a series of consultations between UNDP/UNEP and representatives of LDCs. In particular, the priority needs identified through these forums include:

- a specific and dedicated process for NAP activities;
- financial, institutional and technical support; and

- taking stock and learning lessons, inter alia, from the NAPA formulation and implementation.

104. The support mechanism architecture and the instruments through which such assistance is provided have been designed: i) taking into account these priorities expressed by LDCs ; and ii) building on the mechanisms established during the Ongoing NAP GSP. The programme strategy will assist countries in ensuring the consistency of medium- to long-term adaptation processes with national, sectoral and local development priorities, processes, plans and strategies, as called for in the Durban decision. Therefore, the programme is designed to complement past initiatives and enabling activities, which are nationally driven. In particular, it should be noted that an integral part of the support is to assist national partners with the facilitation of national consultations to identify gaps and capacity/information needs that are specifically tailored to national circumstances.

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

105. The effects of climate change occur at regional, national, sectoral and local levels. Climate change already poses a threat to development of LDCs, and this threat is likely to increase in the future as the effects of climate change intensify. Sectors that are negatively affected by climate change include inter alia water, energy, agriculture, tourism and health. For example i) decreased rainfall reduces crop yields; and ii) human health is affected when floods contaminate drinking water sources with sewage. Local communities in LDCs are particularly vulnerable to the effects of climate change as they rely strongly on ecosystems for their livelihoods and have limited financial capacity to cope with losses inflicted by climate change. For example, intact ecosystems provide these communities with vital services such as clean drinking water and Non-Timber Forest Products (NTFPs). The effects of climate change compromise such services and therefore threaten livelihoods. As a result of the reliance that many local communities in LDCs have on subsistence agriculture, the effects of climate change – such as failing crops in areas vulnerable to droughts – can be devastating.

106. Without LDCF resources, there will be limited planning for climate change adaptation in the medium- to long-term in LDCs that have not yet received support to advance their NAP process. Currently, adaptation planning in LDCs does not adequately include medium- to long-term considerations because of poor institutional arrangements and/or limited access to climate information, knowledge and lessons learned. Moreover, without LDCF resources, those LDCs that have taken part in the Ongoing NAP GSP will have limited support to take the “next steps” to advance their NAP process, which has started in part as a result of the Ongoing NAP GSP.

107. The Expanded NAP GSP will assist LDCs to adapt to the negative effects of climate change by providing these countries with an enhanced capacity to plan, finance, and implement cross-sectoral adaptation plans to climate change in a medium- to long-term framework.

### **3.8. Sustainability**

108. The Expanded NAP GSP 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 this particular project. This includes follow-up support with in-depth training to further enhance the capacities of countries that benefitted from one-on-one

support during the Ongoing NAP GSP. Therefore, the design of the project emphasises sustainability.

109. Transitioning from addressing urgent and immediate climate change needs to medium- and long-term climate planning will differ from country to country. For this reason, the support provided through the Expanded NAP GSP will strengthen the institutional and technical capacity within national systems to support and implement a comprehensive national development process that is climate-resilient. For example, by supporting countries to develop NAP roadmaps (under Outcome 1), 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. In addition, the Component 2 will collate tools and manuals developed by NAP GSP partners, produce guidance to fill identified gaps, and collate information on good practices, which can be utilised beyond the project timeframe. Information, tools and manuals will be made available through the dedicated web-based platform that was established during the Ongoing NAP GSP. This platform will be strengthened to assist with the NAP process for LDCs and will promote the use of the NAP tools and guidance beyond the duration of the project. In particular, the web-based platform will promote sharing of lessons learned from individual countries' experiences – through all ongoing NAP projects – and will contribute to the growing body of knowledge. Moreover, the exit strategy that will be developed for this – and other knowledge-brokering mechanisms – will promote sustainability of knowledge sharing beyond the project lifespan.

110. Institutionalisation of capacity will be achieved through a series of targeted training activities for key government officials, including those from the Ministries of Planning, Finance and Environment. Building on the Ongoing NAP GSP and a number of completed and on-going climate change adaptation related initiatives – rather than commencing yet another stand-alone process – is an effective step to promote sustainability of the outcomes achieved through this programme. The Expanded NAP GSP will also assist country teams in identifying, accessing and sequencing other sources of climate finance, notably the GCF. This will enable countries to mobilise additional resources that may be necessary – depending on country circumstances – to undertake additional elements to advance their NAP processes, especially NAP implementation, beyond the project duration.

### **3.9. Replication**

111. 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 tools 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 tools 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. As they will be available online and therefore accessible to government staff who were unable to attend the targeted training workshops, the training material on NAP tools will promote further training activities at all levels of government. Finally, through improved mechanisms for sharing knowledge and lessons learned, LDCs will be able to access information on best practice for

NAP development. Learning how other countries have overcome barriers to the NAP process will promote the replication of NAP related activities in LDCs.

112. Case studies of country experiences related to the NAP process, including innovative financial approaches to improve access to finance, will be shared through Outcome 3. These case studies will also highlight potential approaches for engagement of the private sector based on lessons learned on public-private partnerships through activities under Output 3.2 and from complementary activities in the SCCF NAP GSP<sup>25</sup>. This will support countries at earlier stages of the NAP process both during and beyond the duration of the project.

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

113. Results from the Expanded NAP GSP will be consistently disseminated within and beyond the timeframe of the project. UNDP and UNEP are connected to a number of well-established information sharing networks and forums such as the ALM<sup>26</sup>, the Regional Climate Change Adaptation Knowledge Platform for Asia/Pacific<sup>27</sup> and the Global Adaptation Network<sup>28</sup>. These platforms will provide the regional and global connecting points for the exchange of project knowledge. Through the Ongoing NAP GSP, the ALM was strengthened to include information on the NAP-related progress of LDCs. This platform will continue to be updated throughout the Expanded NAP GSP. In addition, knowledge generated and captured through the programme will be shared through the LEG NAP Central<sup>29</sup> information portal. Moreover, the programme will participate – as relevant and appropriate – in scientific, policy-based and/or other relevant knowledge networks. The processes and mechanisms for exchange of knowledge with global and regional institutions that were established within Ongoing NAP GSP will be strengthened during the Expanded NAP GSP. In particular, knowledge will be disseminated to – and collated from – dedicated knowledge and programming initiatives (see Section 2.7 for a list of such initiatives). When applicable, information and knowledge generated through the Expanded NAP GSP will also be presented at the annual NAP Expo.

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

114. Expanded NAP GSP is anticipated to have notable environmental benefits. Improved adaptation to climate change of the participating LDCs involves enhanced planning in the medium- to long-term in all relevant sectors, including environmental management. In particular, the GSP will contribute to improving livelihoods of communities within the participating LDCs, while also increasing their adaptive capacity. As such, interventions that will be implemented through Expanded NAP GSP can be considered ‘no regrets’ because they will improve baseline conditions, even where climate change effects are less severe than anticipated.

115. The UNEP checklist for Environmental and Social Safeguards has been completed (Annex 14). This checklist will be reviewed annually by the TSU. The support mechanism’s activities will provide sustained environmental benefits and should not require Strategic

<sup>25</sup> Project no: 5354 - Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

<sup>26</sup> Website: <http://www.adaptationlearning.net>.

<sup>27</sup> Website: <http://www.asiapacificadapt.net/>.

<sup>28</sup> Website: <http://www.ganadapt.org/>

<sup>29</sup> Website: <http://www4.unfccc.int/nap>.

Environmental Assessments (SEAs) or Environmental Impact Assessments (EIAs) to be undertaken in any of the participating countries.

116. Expanded NAP GSP will contribute to national development priorities, and will assist in the provision of socio-economic benefits in the participating LDCs. Relevant stakeholders within participating countries will be consulted throughout the implementation of the project, and will participate in the development of the activities.

117. Importantly, the project will focus on gender equity (see Section 3.2) and will promote gender-sensitivity during the implementation of the programme activities. This will be in alignment with the relevant national gender equity targets of participating countries and international agreements such as the third MDG<sup>30</sup>.

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

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

119. Outcome 1 and Outcome 3/Output 3.2 will be implemented following UNDP's Direct Implementation Modality (DIM)<sup>31</sup>. 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.

120. 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 UNDP-GEF Regional Technical Specialist will provide oversight, while a Lead Technical Specialist will be recruited using LDCF funds to assume responsibility for the day-to-day management of the project. The Lead Technical Specialist will be supported by an Investment Finance Specialist who will provide technical and policy advice to countries related to addressing barriers to access investment financing (domestic and external) for the appraised adaptation options as part of the NAP process. This Investment Finance Specialist position is created in direct response to requests from LDCs during the Ongoing NAP GSP for support to access funds for important adaptation priorities related to the NAP process.

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

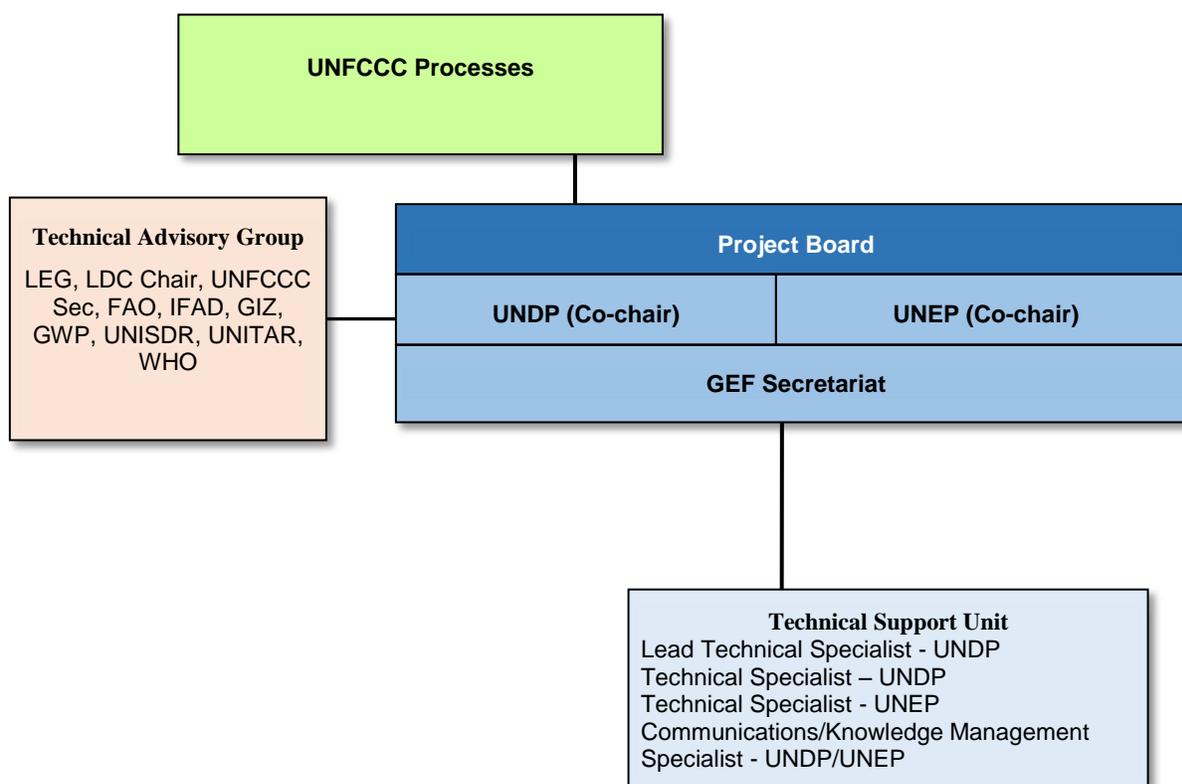
<sup>30</sup> Promoting gender equality and empowering women

<sup>31</sup> For more information on the UNDP DIM modality, please visit:

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

Task Manager while day-to-day management will be undertaken by a Technical Specialist based in ROAP who will be recruited and paid for by the project.

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



**Figure 2.** Project Operational Structure

123. **Project Board:** A Project Board (PB) will be the strategic decision-making body of the project. It will provide overall guidance and direction to the project and 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);
- one representative from UNEP (Co-chair); and
- one representative from the GEF-LDCF Secretariat.

124. Other relevant stakeholders may participate in meetings as observers as needed or – upon approval by the PB – as Board members. The PB will review progress towards project implementation at regular intervals (at least annually), or as required at the request of the Lead Technical Specialist. The PB will also approve the annual work plan prepared by the Lead Technical Specialist with the assistance of the 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: i) ensure that LDCF resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; ii) arbitrate significant conflicts within the project; and iii) negotiate a solution to major problems that may arise between the project and external bodies. To ensure accountability for project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value for 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 and other events where PB members are present.

125. **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 consist of representatives from the UNFCCC Secretariat, LEG, LDC Chair and development partners engaged in activities to support the NAP process in countries (e.g. UNITAR, GIZ, FAO, IFAD, WHO, etc).

126. **Responsible Parties:** Other organisations involved in this initiative as Responsible Parties (e.g. UNITAR) 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 finalised 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 Technical Support Unit and based on agreed Terms of Reference. The Technical Support Unit will facilitate the selection of an appropriate Responsible Party for the relevant Outputs and Outcomes.

127. **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. These staff will include:

- Lead Technical Specialist – UNDP;
- Investment Finance Specialist – UNDP;
- Technical Specialist – UNEP; and
- Communications/Knowledge Management Specialist – UNEP.

128. Technical expertise (e.g. economists to conduct specialised training, local consultants for roadmap development) and logistical support will also be contracted on a consultancy basis as needed. The Terms of Reference (ToRs) for key project staff are included as Annex 8.

129. **Project Assurance:** 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. Similarly, 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.

## SECTION 5: STAKEHOLDER PARTICIPATION

130. 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). The relevant partners and stakeholders per project outcome/output are detailed below. A stakeholder involvement plan will be developed during the project inception phase to ensure that all stakeholders and partners are clear about their roles in the Expanded NAP GSP and can be held accountable to their roles.

**Table 2: Relevant partners and stakeholders identified for engagement by project outcome/output**

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
<b>Outcome 1: LDCs have enhanced capacities to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	Output 1.1: <i>Tailored one-on-one support to LDCs to initiate or advance their NAP process, including but not limited to, support to develop NAP roadmaps.</i>	UNDP	FAO, IFAD, GIZ, GWP, UNISDR, UNITAR, WHO, GGCA, UN Women, national and international CSOs, bilateral/multilateral organizations, regional cooperation organizations, national planning ministries, line ministries.	Stocktaking of on-going and completed initiatives of relevance to the NAP process.  Conduct stakeholder consultations, including national CSOs, to identify expectations for advancing medium- to long-term planning for adaptation.  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.  Document the results of various stakeholder consultations.  Identify key institutions relevant to the NAP process.  Facilitate inter-ministerial dialogue, to integrate climate change into medium and long term planning and/or bring existing sectoral plans under a comprehensive NAP.  Provide in-country training on identified needs. Strengthen leadership (especially in finance and

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
				<p>planning) on medium- to long-term adaptation planning.</p> <p>Promote gender mainstreaming into adaptation plans.</p> <p>Formulate NAP roadmaps, including requirements for reporting (in line with LEG technical guidelines in local contexts).</p>
<b>Outcome 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs.</b>	Output 2.1: <i>Training packages – including tools, methods and guidelines – developed for LDCs to advance their NAP process.</i>	UNEP	IFAD, FAO, WHO, GIZ, UNITAR, GGCA, UN Women, bilateral/multilateral organizations, international CSOs, national planning ministries, line ministries.	<p>Undertake a survey as part of the gap/needs assessment for tools, methods, guidelines and their supplements.</p> <p>Promote the use of existing tools, methods, guidelines and their supplements on the basis of the needs identified.</p> <p>Promote the tools, methods, guidelines and their supplements in side events during COP and/or SBs.</p> <p>Promote gender and climate change manuals and guidance.</p>
	Output 2.2: <i>National technicians from LDCs trained on assessing long-term vulnerability to climate change and relevant adaptation options through targeted training workshops.</i>	UNEP	IFAD, FAO, WHO, GIZ, UNITAR, GGCA, UN Women, bilateral/multilateral organizations, national planning ministries, line ministries.	<p>Organise thematic/sub-regional working groups and attend 'exchange of experiences'.</p> <p>Organise thematic/sub-regional workshops on the use of tools, application of methods and NAP guidelines, and relevant elements of the Adaptation Committee work programme.</p> <p>Update tools, methods, guidelines and their supplements based on workshop feedback.</p> <p>Develop gender and climate change adaptation training modules.</p>
<b>Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.</b>	Output 3.1: <i>Information from North and South experiences, good practices and lessons of relevance to medium- to</i>	UNEP	UNDP, IFAD, FAO, WHO, UNITAR, GGCA, UN Women, bilateral/multilateral organizations, national planning ministries, line	<p>Establish NAP knowledge and information systems.</p> <p>Establish/build upon and participate in existing communities of practice.</p> <p>Promote thematic discussions through existing networks by identifying topics for</p>

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	<i>long-term national, sectoral and local planning and budgeting processes are captured, synthesised and made available to all LDCs.</i>		ministries, global and regional knowledge platforms.	discussion and appointing facilitators.  Synthesize information from discussions, and share this information through the established/enhanced knowledge and information systems.
	Output 3.2: <i>Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation.</i>	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.

## SECTION 6: MONITORING AND EVALUATION PLAN

131. Project monitoring and evaluation will be conducted in accordance with established UNDP, UNEP and GEF procedures and will be undertaken by the project team under the oversight of the UNDP-GEF units based in Bangkok and the UNEP Division for Programme Implementation (DEPI) in Nairobi respectively. The Project Results Framework in Annex 3 provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis of the project's Monitoring and Evaluation system.

132. Project Inception Workshop: A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organisation structure, member of the project board and other relevant stakeholders as necessary. The Inception Workshop is crucial to building ownership for the project and to plan the first year annual work plan. The Inception Workshop will include a number of important tasks such as those listed below.

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP and UNEP staff *vis à vis* the project and finalise a stakeholder involvement plan.
- Discuss the roles, functions, and responsibilities within the project's decision-making, management, assurance and advisory structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and other project-related structures will be discussed again as needed in order to clarify for all, each party's responsibilities during the project's implementation phase.
- Review and agree on the indicators, targets and their means of verification in the Project Results Framework as well as recheck assumptions and risks.
- Provide a detailed overview of reporting, M&E requirements, including roles and responsibilities for different M&E functions, with a particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Project Review (APR) as well as mid-term and terminal evaluations. The M&E work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- Plan and schedule PB meetings. The first PB meeting should be held within the first 12 months following the Inception Workshop.

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

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

135. Annual Reporting: The Project Implementation Report (PIR) is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines UNDP, UNEP and GEF reporting requirements and is to

be completed by the project in the prescribed report format by 1<sup>st</sup> August of each year. The PIR includes, but is not limited to, reporting on the following:

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

### **Mid-term of Project Cycle**

136. The project will undergo an independent Mid-Term Review (MTR) or or Mid-Term Evaluation (MTE)<sup>32</sup> at the mid-point of project implementation, as deemed most appropriate. The purpose of the Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) is to provide an independent assessment of project performance at mid-term, to analyze whether the project is on track, what problems and challenges the project is encountering, and which corrective actions are required so that the project can achieve its intended outcomes by project completion in the most efficient and sustainable way. 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 and adaptive management during the final half of the project's term. The Project Board will participate in the MTR or MTE. The Project team will develop a management response to the evaluation recommendations along with an implementation plan in consultation with the Project Board. It is the responsibility of the UNEP DEPI and UNDP GEF Unit to monitor whether the agreed recommendations are being implemented. The LDCF AMAT (as set out in the Project Results Framework in Section IV and Annex D of this project document) will also be completed during the mid-term evaluation cycle.

137. The organisation and timing of the MTR or MTE will be decided through consultation between UNEP and UNDP. . A single MTR may be managed jointly by the UNDP Regional Technical Advisor and UNEP Task Manager, otherwise an MTE would be coordinated by the UNEP Evaluation Office (EO) in close collaboration with UNEP and UNDP implementing and executing teams. The Terms of Reference for this MTR will be prepared by UNEP and UNDP, or by UNEP EO (in close collaboration with both UNDP GEF team and UNEP DEPI) in the case of an MTE, and both agencies will participate in the selection of an independent consultant(s) and reviews of draft evaluation reports in all steps of the process. The management response and the evaluation will be uploaded to UNEP and UNDP corporate systems.

### **End of Project**

138. An independent Terminal Evaluation (TE) will take place three months prior to the final PB meeting, and will be undertaken in accordance with UNDP, UNEP and GEF guidance. The evaluation will seek to provide evidence of results to meet accountability

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<sup>32</sup> The UNDP Regional Technical Advisor and UNEP Task Manager will discuss and decide prior to undertaking the MTR or MTE, as to which one is required. The MTR will be managed jointly by UNEP and UNDP and in the case an MTE is required, this will be coordinated by the UNEP Evaluation Office (EO), in close consultation and collaboration with UNDP Regional Technical Advisor and UNEP Task Manager..

requirements, and to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNDP, UNEP and GEF. The terminal evaluation will focus on the delivery of the project's results as initially planned (and as revised after the MTR or MTE, if any such revision took place). The TE will also assess project performance based on standard evaluation criteria<sup>33</sup>, and determine the actual and potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The LDCF AMAT (as set out in the Project Results Framework in Section IV and Annex D of this project document) will also be completed during the terminal evaluation cycle.

139. The TE will be coordinated by the Evaluation Office of UNEP (EOU) in close collaboration with UNDP Regional Technical Advisor and UNEP Task Manager. The Terms of Reference for this TE will be prepared by the EOU in close collaboration with UNEP and UNDP, and both agencies will participate in the selection of an independent consultant(s) and reviews of draft evaluations in all steps of the process.

140. The TE report will be sent to project stakeholders and the Project Board for comments. Formal comments on the report will be shared by the Evaluation Office of UNEP (EOU) in an open and transparent manner. The evaluation will provide individual ratings for the evaluation criteria with a justification provided for each of the ratings. The final determination of project ratings will be reviewed by the EOU and the UNEP and UNDP RTA when the report is finalized. The management response and the evaluation will be uploaded to UNEP and UNDP corporate systems (PIMS and to the UNDP Evaluation Office Evaluation Resource Centre).

#### **Audit**

141. Project will be audited annually in accordance with UNEP Financial Regulations and Rules and applicable audit policies.

142. See Annex 5 for the costed M&E workplan and budget.

### **SECTION 7: PROJECT FINANCING AND BUDGET**

#### **7.1. Overall project budget**

143. To achieve the objective and outcomes presented above, LDCF resources of US\$6,200,000 in total – US\$2,400,000 for administration by UNEP and US\$3,800,000 for administration by UNDP – are requested for the period of 2016-2019, excluding the fees for the two Implementing Agencies. The breakdown of the budget across the outcomes is presented below (for greater detail, see the UNEP project budget in Annex 1, as well as the budget components for which UNDP is responsible for in Annex 2):

<b>LDCF funding</b>	<b>UNDP</b>	<b>UNEP</b>	<b>Total</b>
<b>Component 1: Direct country support (Overseen by UNDP)</b>			
Outcome 1: LDCs have enhanced capacities to advance medium and long-term adaptation	<b>3,300,000</b>		<b>3,300,000</b>

<sup>33</sup> The project performance will be assessed against standard evaluation criteria using a six point rating scheme.

planning processes in the context of their national development strategies and budgets.

<b>Component 2: Technical support (Overseen by UNEP).</b>		<b>1,912,000</b>	<b>1,912,000</b>
Outcome 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs.			
<b>Component 3: Knowledge brokering and scaling up (Overseen by UNEP and UNDP).</b>	<b>300,000</b>	<b>304,762</b>	<b>604,762</b>
Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.			
<b>M &amp; E</b>		<b>88,000</b>	<b>88,000</b>
<b>Project management costs</b>	<b>200,000</b>	<b>95,238</b>	
<b>Total</b>	<b>3,800,000</b>	<b>2,400,000</b>	<b>6,200,000</b>

## 7.2. Project co-financing

Detailed descriptions of the activities conducted by the co-financing initiatives have been described in Section 2.6 above. Table Table 3 below provides an outline of the initiatives and the co-financing amounts provided.

**Table 3. Expanded NAP GSP co-financing initiatives.**

<b>Co-financing Initiative</b>	<b>Type of Co-financing</b>	<b>Amount (\$)</b>
BMUB – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (Agricultural NAPs)	Grant	4,000,000
Australian Government – Pacific Risk Resilience Programme (PRRP)	Grant	4,000,000
Danish Government/UNEP DTU – Adaptation Mitigation Readiness Project (ADMIRE)	Grant	800,000
UNDP – Strategic Initiative to Address Climate Change in Least Developed Countries (aka Boots Programme)	Grant	4,900,000
		<b>13,700,000</b>

## 7.3 Project cost-effectiveness

144. Cost-effectiveness is demonstrated in the design of the Expanded NAP GSP. Importantly, implementation of the project will build on the structure – including knowledge platforms – progress and lessons learned from the Ongoing NAP GSP and other UNDP-UNEP GSPs. Therefore, lessons learned, experiences to date and good practices from this programme – and others related to planning for climate change adaptation – will inform implementation of the Expanded NAP GSP. Moreover, these lessons will be disseminated through knowledge and information systems that have been established through the Ongoing NAP GSP. This will be a cost-effective way of communicating with and informing all

stakeholders – including government staff, policy-makers, planning ministries and line ministries – involved in development planning.

145. The Expanded NAP GSP will also draw on the network of technical experts established through the Ongoing NAP GSP and UNDP. These technical experts are already trained and experienced in delivering training on the NAP process to LDCs, which will result in cost-savings for these activities. Indeed, the Expanded NAP GSP will draw from experts trained by UNDP, GIZ and UNITAR to conduct NAP country-level training for inter-ministerial teams.

146. The training workshops within Component 2 will be cost-effective because: i) regional workshops for will be hosted for countries with similar adaptation priorities; ii) key actors in the NAP process – including planning and finance ministries – will be targeted to attend the workshops and act as champions for the NAP process; and iii) workshop training material will be published online to promote sustained learning for participants and other stakeholders in LDCs.

147. Within Components 1 and 2, the enhanced training and workshop materials provided will not be developed from scratch, but will rather build on existing materials, resulting in cost-savings for these activities. For example, the training material that has been developed within Component 1 of the Ongoing NAP GSP for one-on-one technical assistance will be updated and enhanced to undertake similar activities with additional LDCs within the Expanded NAP GSP. Moreover, targeted training and workshop material developed within Component 2 will be based on modules that have been developed by UNITAR and the University of Geneva on climate change adaptation and NAPs.

148. Finally, through the Ongoing NAP GSP, the project team has become very familiar with other NAP-related initiatives being implemented by partners and other organisations. This knowledge will ensure that the activities of the Expanded NAP GSP do not duplicate ongoing efforts, thereby promoting the overall cost-effectiveness of the project.

## ANNEXURES

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

Project title:		Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).										Notes	
Project number:		1306											
Project executing partner:		UNEP, UNDP											
Project implementation period:		Expenditure by project component/activity						Expenditure by calendar year					
From:		01/2016											
To:		12/2018											
UNEP Budget Line		Outcome 1	Outcome 2	Outcome 3	PM	M&E	Total	Year 1	Year 2	Year 3	Total		
<b>10</b>	<b>PERSONNEL COMPONENT</b>												
	1100	Project personnel											
	1101	Technical Specialist (UNEP)	-	400000	98762	50238	-	549000	183000	183000	183000	549 000	a
	<b>1199</b>	<b>Sub-total</b>		<b>400000</b>	<b>98762</b>	<b>50238</b>	<b>-</b>	<b>549000</b>	<b>183000</b>	<b>183000</b>	<b>183000</b>	<b>549 000</b>	
	1200	Consultants											
	1201	International Consultants		332000	18000			350000	135000	135000	80000	350 000	b
	1202	Communication/Knowledge Management Specialist		119500				119500	41500	41500	36500	119 500	c
	1203	Knowledge Management Specialist			120000			120000	40000	40000	40000	120 000	d
	1204	International Consultant - Workshop Facilitator		60000				60000	20000	20000	20000	60 000	e
	<b>1299</b>	<b>Sub-total</b>		<b>511500</b>	<b>138000</b>	<b>-</b>	<b>-</b>	<b>649500</b>	<b>236500</b>	<b>236500</b>	<b>176500</b>	<b>649 500</b>	
	1300	Administrative Support						-				-	
	<b>1399</b>	<b>Sub-total</b>						-				-	
	1600	Travel on official business											
	1601	Travel on official business		90000	30000			<b>120000</b>	30000	45000	45000	<b>120 000</b>	
	<b>1699</b>	<b>Sub-total</b>		<b>90000</b>	<b>30000</b>	<b>-</b>	<b>-</b>	<b>120000</b>	<b>30000</b>	<b>45000</b>	<b>45000</b>	<b>120 000</b>	f
<b>1999</b>	<b>Component total</b>			<b>1001500</b>	<b>266762</b>	<b>50238</b>	<b>-</b>	<b>1318500</b>	<b>449500</b>	<b>464500</b>	<b>404500</b>	<b>1318500</b>	

<b>30</b>	<b>TRAINING COMPONENT</b>												
	3200	Group training											
	3201	Regional Training Workshops	895000					<b>895000</b>	295000	300000	300000	<b>895 000</b>	g
	<b>3299</b>	<b>Sub-total</b>	<b>895000</b>	-	-	-		<b>895000</b>	<b>295000</b>	<b>300000</b>	<b>300000</b>	<b>895 000</b>	
	3300	Meetings		30000				<b>30000</b>	-	15000	15000	30 000	h
	<b>3399</b>	<b>Sub-total</b>	-	<b>30000</b>	-	-		<b>30000</b>	-	<b>15000</b>	<b>15000</b>	<b>30 000</b>	
<b>3999</b>	<b>Component total</b>		<b>895000</b>	<b>30000</b>	-	-		<b>925000</b>	<b>295000</b>	<b>315000</b>	<b>315000</b>	<b>925 000</b>	
<b>40</b>	<b>EQUIPMENT AND PREMISES COMPONENT</b>												
	4200	Non-expendable equipment											
	4201	Office and equipment			24000			<b>24000</b>	8000	8000	8000	<b>24 000</b>	i
	<b>4299</b>	<b>Sub-total</b>			<b>24000</b>	-		<b>24000</b>	<b>8000</b>	<b>8000</b>	<b>8000</b>	<b>24 000</b>	
<b>4999</b>	<b>Component total</b>				<b>24000</b>	-		<b>24000</b>	<b>8000</b>	<b>8000</b>	<b>8000</b>	<b>24 000</b>	
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>												
	5300	Sundry											
	5301	Communications			21000			<b>21000</b>	7000	7000	7000	21 000	j
	5303	Printing and communication costs	15500	8000				<b>23500</b>	5500	9500	8500	23 500	k
	<b>5499</b>	<b>Sub-total</b>	<b>15500</b>	<b>8000</b>	<b>21000</b>	-		<b>44500</b>	<b>12500</b>	<b>16500</b>	<b>15500</b>	<b>44 500</b>	
	5500	Evaluation											
	5501	Inception workshop and report				8000		<b>8000</b>	8000	-	-	8 000	l
	5502	Mid-term evaluation				35000		<b>35000</b>	-	35000	-	35 000	m
	5503	Terminal evaluation				45000		<b>45000</b>	-	-	45000	45 000	m
	<b>5599</b>	<b>Sub-total</b>	-	-	-	-		<b>88000</b>	<b>88000</b>	<b>8000</b>	<b>35000</b>	<b>45000</b>	<b>88 000</b>
<b>5999</b>	<b>Component total</b>		<b>15500</b>	<b>8000</b>	<b>21000</b>	<b>88000</b>		<b>132500</b>	<b>20500</b>	<b>51500</b>	<b>60500</b>	<b>132500</b>	

99	GRAND TOTAL		1912000	304762	95238	88000	2400000	773000	839000	788000	2400000	
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#	Description	Activities and Notes
a	Technical Specialist (UNEP)	The UNEP Technical Specialist (P3) will oversee, coordinate and provide technical input into the UNEP activities in the project. The TS will be paid \$183 000 per annum.
b	International Consultants	<p>International Consultants (\$500/day) to:</p> <ul style="list-style-type: none"> <li>- <b>2.1.1</b> Undertake a survey of LDCs to identify priority training needs for the NAP process (\$2,000)</li> <li>- <b>2.1.2</b> Identify new and existing training materials, methods and tools for advancing the NAP process (\$10,000)</li> <li>- <b>2.1.3</b> Promote the use of training materials, methods and tools for the NAP process (\$10,000)</li> <li>- <b>2.1.4</b> Develop training packages for the specific priority needs identified in Activity 2.1.1. (5 packages x \$50,000/package), including translations. Includes a Gender Specialist to develop a gender-specific training module, therefore 20% of this budget (\$50,000) is attributed to promoting gender equality.</li> <li>- <b>3.1.1</b> Promote and facilitate thematic discussions through existing knowledge-sharing networks (\$9,000)</li> <li>- <b>3.1.2</b> Develop knowledge products and case studies demonstrating good practice for medium- and long-term adaptation planning, including translations (\$9,000).</li> </ul> <p>In addition, US\$20,000 per year is included to cover travel costs of International Consultants to target countries and workshops (US\$60,000).</p>
c	Communication/Knowledge Management Specialist	Communication/Knowledge Management Specialist to develop guidelines, manuals, information material, direct country support and facilitate training events under Outcome 2.
d	Knowledge Management Specialist	Knowledge Management Specialist to maintain website and facilitate knowledge- under Outcome 3.
e	International Consultant - Workshop Facilitator	Consultant to facilitate the regional targeted training workshops (6 workshops x \$10,000 per workshop). This includes travel costs.
f	Travel on official business	Cost of travel for UNEP Technical Specialist, Communication/Knowledge Management Specialist and other project staff for regional workshops and international events and meeting to facilitate knowledge sharing.
g	Workshops	<p>2 sets of 3 regional training workshops (English east and southern Africa, French west Africa, Asia-Pacific) attended by at least 3 participants per LDC. Total of 6 workshops (\$150,000 per workshop). For each workshop:</p> <ul style="list-style-type: none"> <li>~ 15 countries;</li> <li>45 flights @ \$1,700 = \$76,500;</li> <li>45 delegates DSA @ \$200 per day for four days = \$36,000</li> <li>Venue hire, audio visual equipment, miscellaneous costs = \$42,500.</li> </ul> <p>The workshops will be attended by an equal number of male and female delegates, and will include a training module on gender and adaptation. Therefore ~10% of this budget is attributed to promoting gender equality.</p>
h	Meetings	Meetings to facilitate knowledge sharing through working groups, expos and side events (2 events at \$15,000 per event).

i	Office and equipment	Office rental and equipment costs (\$8,000/year)
j	Communications	Office telecommunication expenses (\$7,000/year)
k	Printing and communication costs	Printing of training and promotional material, and communication costs, for Activity <b>2.1.3</b> , <b>2.1.4</b> and <b>3.1.4</b>
l	Inception workshop and report	An inception workshop will be held to gather lessons learned from the Ongoing NAP GSP and develop and approve workplans.
m	Mid-term evaluation/ Terminal Evaluation	A mid-term and final evaluation will be conducted and paid for by UNEP

## Annex 2: UNDP project budget

<b>Award ID:</b>	00095671	<b>Project ID(s):</b>	00099702
<b>Award Title:</b>	PIMS 5399 Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).		
<b>Business Unit:</b>	UNDP1		
<b>Project Title:</b>	PIMS 5399 Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).		
<b>PIMS no.</b>	5399		
<b>Implementing Partner (Executing Agency)</b>	UNDP <sup>34</sup>		

Outcome	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	Budget note
<b>Outcome 1: LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	UNDP	62160	LDCF	61300	Salaries - IP Staff	37,000	186,000	186,000	409,000	a
				71200	International Consultants	771,105	494,260	494,260	1,759,625	b
				71300	Local Consultants	120,000	140,000	140,000	400,000	c
				71600	Travel	125,000	125,000	128,375	378,375	d
				74200	Audio visual and Print Prod Cost	17,000	18,000	18,000	53,000	e
				75700	Training, Workshops and Conferences	100,000	100,000	100,000	300,000	f
					<b>Total</b>	<b>1,170,105</b>	<b>1,063,260</b>	<b>1,066,635</b>	<b>3,300,000</b>	
<b>Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.</b>	UNDP	62160	LDCF	71200	International Consultants	39,000	89,000	50,000	178,000	h
				71300	Local Consultants	15,000	15,000	15,000	45,000	i
				74200	Audio visual and Print Prod Cost	25,000	26,000	26,000	77,000	j
					<b>Total</b>	<b>79,000</b>	<b>130,000</b>	<b>91,000</b>	<b>300,000</b>	
<b>Project Management Costs</b>	UNDP	62160	LDCF	61300	Salaries - IP Staff	36,500	36,500	36,500	109,500	a
				73100	Rental & maintenance – Premise	17,000	17,000	16,000	30,000	k
				74500	DPC	7,500	7,500	7,500	22,500	l
				74100	Professional Services	3,000	3,000	3,000	9,000	m

<sup>34</sup> Please see UNEP project document for budget details of UNEP-implemented outcomes/outputs

				74200	Audio visual and Print Prod Cost	3,000	3,000	3,000	9,000	n
					<b>Total</b>	<b>67,000</b>	<b>67,000</b>	<b>66,000</b>	<b>200,000</b>	
<b>PROJECT TOTAL</b>						<b>1,316,105</b>	<b>1,260,260</b>	<b>1,223,635</b>	<b>3,800,000</b>	

Budget note	Description of cost item
a	50%/50% of Lead Technical Specialist (P4) proforma (Addis) for year one split between outcome 1 and 3, and 84%/16% of the same position for the remaining 2 years split across outcomes 1 and 3. The higher % under the PM outcome 3 is due to the heavier management activities required to kickstart the project
b	Cost of International consultants to provide one-on-one technical support to LDCs, including an Investment Finance Specialist and a Gender Specialist. Support to 20 LDCS, 3 consultants per country. Approximately 5% of this budget line is attributable to gender-specific activities.
c	Local technical expertise for ongoing support to LDCs to advance their NAP process. Support to 20 LDCS, 2 consultants per country, \$10,000 per consultant for support provided. 20 x 2 x \$10,000 = \$400,000
d	Travel related to in-country consultations and training. 60 consultant flight and DSA @\$6,000 per mission = \$360,000. Additional \$18,365 included to cover extra travel expenses.
e	Audio/visual, training materials for one-on-one technical support.
f	Workshops, meetings and conferences associated with the one-on-one technical support provided. 20 LDCs @ \$15,000 per country = \$300,000
h	International consultants to: 3.2.1 Synthesise lessons learned and experience gained through the NAP-GSP (\$39,000) 3.2.2 Facilitate face-to-face and virtual knowledge exchange through regional platforms (\$39,000) 3.2.3 Develop web-based training materials (US\$50,000) 3.2.4 Host webinars (US\$50,000) 3.2.5 Identify entry points and formulate business cases for private sector involvement in NAP processes
i	Local consultant to maintain the programmes online platforms (knowledge networks, website, webinars, online training materials) @ \$15,000/year
j	Communication materials, printing manuals, video equipment rental, editing, etc. to share lessons learned/best practices and NAPs case studies.
k	Rent and general operating expense (GOE), estimated at \$10,000/year. Budgeted for up to 2 staff.
l	Direct Project Costs (DPC) is estimated based on operational and administrative support activities to be carried out by UNDP. Estimated breakdown is as follows: • Recruitment of project personnel - 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. 9 consultants/year) - IC recurring cost for 3 years 43*\$189 = \$8,127 (based on 7 payments / year / consultant) • \$41/travel payment for project staff/consultant – 63 times (1 travel / year / consultant, 12 travel / year / staff) = \$2,583 Total DPC = \$21,258 + misc \$1242 = \$22,500
m	Annual audit cost \$3,000/year = \$9,000

n	Printing and related communication costs for project team.
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## Annex 3: Results framework

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: Strengthen the institutional and technical capacities of LDCs to start and/or advance their National Adaptation Plan process.	Change in institutional and technical capacity of LDCs to start and/or advance their National Adaptation Plan process. <sup>35</sup>	The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among LDCs are varied and countries have received differing amounts of support from Ongoing NAP GSP as well as the other bilateral and multilateral projects.	At least 20 LDCs have been supported to increase their institutional and technical capacity to start and/or advance their National Adaptation Plan process and have progressed in the capacity assessment score as evidenced by radar charts.	<p>A radar chart will be constructed for each country to measure how institutional and technical capacity has changed between the beginning of the project interventions to the end of project intervention period. This scoring methodology is adapted from that suggested by the LDCF/SCCF AMAT. The scoring is based on three criteria (separate for measuring institutional and technical capacity, respectively) expressed as questions (these criteria will be further validated at inception phase):</p> <p><b>Institutional capacity:</b></p> <ul style="list-style-type: none"> <li>(i) Has an authoritative body been tasked with coordination of the NAP process in-country?</li> <li>(ii) Are those arrangements based on clear and strong mandate(s);</li> <li>(iii) Do those arrangements include broad stakeholder participation across numerous relevant, climate-sensitive sectors?</li> </ul> <p><b>Technical capacity:</b></p> <ul style="list-style-type: none"> <li>(i) adaptation options are identified;</li> <li>(ii) adaptation options are prioritized;</li> <li>(iii) implementation of adaptation options has started.</li> </ul> <p>For institutional and technical capacity</p>	<p>Effective coordination at national level.</p> <p>LDC government representatives and stakeholders recognise the value of project-related training initiatives.</p>

<sup>35</sup> This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
				the following scoring scale will be used. For each criterion: not at all (= 0), partially (= 1) or to a large extent/completely (= 2). The list of criteria is not exhaustive, and may be adjusted given the nature of the support provided to countries and the context of interventions. An overall score per country is estimated, with a maximum score of 6 (maximum per institutional and technical capacity, respectively) given three criteria, preferably visualized in a spidergram.	
<b>Outcome 1: LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets (led by UNDP).</b>	Number of LDCs receiving tailored support to advance their NAP.	15 <sup>36</sup> countries received tailored support to advance their NAP during the Ongoing NAP GSP.	At least 20 <sup>37</sup> additional countries receive tailored support to advance their NAP process	In-country workshops, mission reports produced and training materials disseminated.	Coordination with development partners on NAP-related support activities

<sup>36</sup> The workplan for the Ongoing NAP GSP targeted 12 countries, however, 3 additional requests were able to be supported by the project.

<sup>37</sup> Resources under the expanded project will also fund follow-up support to at least 6 countries as targeted under the Ongoing NAP GSP that request follow-up support.

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
<b>Outcome 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs (led by UNEP).</b>	Number of LDCs capacitated with increased knowledge of tools and methods available to advance the NAP process.	LDCs have gained an understanding of the fundamental elements of the NAP process through and a basic knowledge of the tools currently in existence as a result of regional trainings undertaken under the Ongoing NAP GSP. However, the capacity of relevant government technicians in LDCs to apply tools, methods and guidelines to undertake key steps in the NAP process is limited.	By the end of the project, all LDCs (specifically at least 3 government technicians from each participating LDC) have increased knowledge of tools and methods available to advance the NAP process.	<p>Surveys and post-workshop evaluations (tests<sup>38</sup>, questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.</p> <p>The surveys will establish if government technicians are able to:</p> <ul style="list-style-type: none"> <li>• Describe the NAP process and how it differs from short-term adaptation planning.</li> <li>• Identify relevant sectors in-country that should be included in the NAP process.</li> <li>• Identify tools and methods required to advance medium- to long-term planning for adaptation.</li> </ul>	Strong coordination with development partners on NAP-related support activities.
	Number of training packages developed/updated for LDCs to advance	Ongoing NAP GSP, LEG, UNFCCC, GIZ, WHO, UNITAR and others have developed	By the end of the project, at least 2 comprehensive thematic training packages – containing	Training packages produced. Review of the training documents produced and distributed to the relevant government staff.	

<sup>38</sup> The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
	their NAP process.	training materials and guidelines on the NAP process. No training packages compiling different training materials and tools have been developed to date for LDCs.	updated tools, methods or guidelines - developed for LDCs to advance their NAP process.		
	Number of regional targeted training workshops conducted.	4 regional training workshops were conducted during the Ongoing of NAP GSP. These regional training workshops focussed on enhancing LDCs understanding of the NAP process and NAP technical guidelines. They provided information on the variety of tools that can support the NAP process. The LEG has also	By the end of the project, at least 6 additional targeted training workshops conducted on priority themes of the NAP with the participation of all LDCs.	Workshop reports.  Training material delivered at the workshops.  Attendance registers from the workshops.	LDC representatives will have the time to attend the regional targeted training workshops.

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
		conducted 4 regional training workshops (Asia, Pacific Islands, Anglophone Africa and Francophone Africa).			
	Percentage of participants in the regional targeted training workshops that are women.	20% of the participants in the regional training workshops conducted during the first phase of NAP GSP were women.	At least 40% of the participants in the regional targeted training workshops are women.	Workshop reports.  Attendance registers from the workshops.	Women participants are selected by individual LDCs.
<b>Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.</b>	Percentage of participants in the online thematic discussions, web-based trainings and webinars who report interest and/or uptake of lessons learned and best practices.	Lessons learned and best practices are sometimes shared regionally on an ad-hoc basis (e.g. amongst Pacific Island states), but there is limited sharing of lessons learned and best practices among all LDCs.	By the end of the project at least 70% of the participants in the online thematic discussions, web-based trainings and webinars report interest and/or uptake of lessons learned and best practices shared.	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 online thematic discussions, web-based trainings and webinars.	Sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information.  Sufficient cooperation between external donors to align initiatives of relevance to the NAP process.
	Number of case studies for	3 country briefing notes	By the end of the project, at least	Review of case studies developed.	

Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
	medium- to long-term adaptation planning developed.	will be produced by August 2015 through Ongoing NAP GSP. In addition, 5 NAP Roadmap posters will be produced through Ongoing NAP GSP.	10 additional country case studies for medium- to long-term adaptation planning developed.	Review of information available through the knowledge-sharing platforms.	

## Annex 4: Workplan and timetable

		Year 1	Year 2	Year 3
Output 2.1 Training packages – including tools, methods and guidelines – developed for LDCs to advance their NAP process.	Activity 2.1.1: Undertake a survey directed at LDCs to identify newly emerging priority training needs for the NAP process.			
	Activity 2.1.2: Identify new and existing training materials, methods and tools (building on those identified during the first phase of NAP GSP and including those tools that have been since developed) that could be used for advancing the NAP process and adapt them for LDCs.			
	Activity 2.1.3: Promote the use of existing training materials, methods and tools through intergovernmental processes (e.g. side events at SBIs/SBSTAs and NAP Expo) and the knowledge and information systems established through Output 3.1. to further the NAP process in LDCs.			
	Activity 2.1.4: Develop training packages, including existing/adapted tools methods and guidelines for specific priority needs identified.			
Output 2.2 National technicians from LDCs trained on assessing long-term vulnerability to climate change and relevant adaptation options through targeted training workshops	Activity 2.2.1: Organise regional targeted training workshops for: i) national technicians from planning and finance ministries on adaptation planning and climate change finance; and ii) national technicians from climate change vulnerable sectors, such as agriculture and water, on long-term vulnerability assessments and identification of appropriate adaptation options.			
	Activity 2.2.2: Disseminate the training materials and information generated through the regional targeted training workshops on the NAP-GSP website.			
Output 3.1 Information from North and South experiences, good practices and lessons of relevance to medium- to long-term national, sectoral and local planning and budgeting processes are captured, synthesized and made	Activity 3.1.1: Promote thematic discussions through existing networks – such as APAN and AAKNet – by identifying topics for discussion and appointing facilitators.			
	Activity 3.1.2: Develop knowledge products with good practices and case studies for medium- to long-term adaptation planning.			

available to all LDCs (UNEP).	Activity 3.1.3: Synthesise information generated through the NAP-GSP activities and share this information through quarterly newsletter, networks, websites and LISTSERVE.			
	Activity 3.1.4: Share NAP good practices in side events during COP and/or SBs and at NAP Expo.			

## Annex 5: Costed M&amp;E plan

Type of M&E Activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Timeframe
Inception Workshop and Report	<ul style="list-style-type: none"> <li>Lead Technical Specialist</li> <li>Project team</li> </ul>	8,000 <sup>39</sup>	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> <li>Lead Technical Specialist will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members.</li> </ul>	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>Oversight by Lead Technical Specialist</li> <li>Project team</li> </ul>	To be determined as part of Annual Work Plan prep.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team</li> <li>UNDP and UNEP</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team</li> </ul>	None	Quarterly
Mid-term evaluation	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	35,000 <sup>40</sup>	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> <li>Lead Technical Specialist and team,</li> <li>UNDP and UNEP</li> <li>External Consultants (mixed local/int. team)</li> </ul>	45,000 <sup>41</sup>	At least three months before the end of project implementation
Audit	<ul style="list-style-type: none"> <li>UNDP</li> </ul>	Indicative cost per year: US\$3,000	Yearly budget for UNDP only
<b>TOTAL Indicative Cost</b>		UNEP: \$88,000 UNDP: \$9,000	

<sup>39</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget.

<sup>40</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

<sup>41</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

**Annex 6: Summary of reporting requirements and responsibilities**

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

## Annex 7: Standard Terminal Evaluation TOR

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

### Objective and Scope of the Evaluation

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

### Methods

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

### Key Evaluation principles

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

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

## **Annex 8: Terms of Reference for Key Project Entities and Project Staff**

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

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

- One representative from UNDP (Co-chair);
- One representative from UNEP (Co-chair);
- One representative from the GEF-LDCF secretariat;
- Participation in the Project Board will be agreed by the Co-chairs.

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

### ***Responsibilities***

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

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

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

The TSU will be composed of the following project staff:

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

### **Lead Technical Specialist**

The Lead Technical Specialist (LTS) will be contracted by UNDP to be responsible, on behalf of the two Agencies, for the implementation of the project. He/she will be responsible for project implementation and working to achieve the project outcomes. The LTS will direct and guide other project staff, including day-to-day project coordination with other implementing

partners. He/She will ensure that input required from the implementing partners is secured, and the project provides the required support. The LTS will be supervised by UNDP and UNEP staff involved in oversight of this project.

### ***Responsibilities***

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

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

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

### **Technical Specialist**

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

### ***Responsibilities***

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

***Qualifications/ Requirements***

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

## Annex 9: Co-financing commitment letters from project partners

United Nations Development Programme



Empowered lives.  
Resilient nations.

18 May, 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 \$4,000,000 as baseline co-financing to support the *"Expanding the Ongoing Support to Least Developed Countries (LDCs) 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 LDCF programme will benefit from the ICI partnership in several contexts: i) applying best practices and lessons of developing NAP roadmaps for the agriculture sector in LDCs; ii) build on the technical expertise being mobilized by the ICI programme: the LDCF-programme will benefit from a cadre of professionals in the fields of science, technology, and economics of adaptation, etc.;

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and iii) capitalize on regional and global knowledge exchange activities planned under the ICI programme.

Yours Sincerely,

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

Adriana Dinu  
Executive Coordinator  
UNDP-GEF

cc: Pradeep Kurukulasuriya, UNDP-GEF, Head – Climate Change Adaptation Programming

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

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25 June, 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 “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans”**

Dear Dr. Ishii,

UNDP is pleased to confirm USD \$4,900,000 as baseline co-financing to support the “*Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)*” project to meet its GEF/LDCF project objectives.

This co-financing is committed from the initiative “**Strategic Initiative to Address Climate Change in Least Developed Countries**”, also known as “Boots on the Ground”. “Boots on the ground” provides technical and policy support to 23 LDCs. This support covers three key areas: 1) assistance to the international climate negotiations; 2) strengthening capacities to access and implement climate finance; and 3) effectively integrating climate change into a country's national plans, policies and strategies to support the transition toward low emission and climate resilient development. The programme, delivered through a network of national and regional advisors in LDCs and SIDS, also supports South-South knowledge exchange by facilitating the regular sharing of lessons, experiences and innovative approaches between countries.

These national and regional advisors have been instrumental during the implementation of in-country support of the first (and ongoing) NAP Global Support Programme for LDCs and hence it is expected that the expanded support programme can capitalize on the “Boots on the ground” initiative in a similar way. The “Boots” advisors support coordination of in-country NAP missions; provide technical assistance to Governments in identifying NAP entry points in collaboration with the NAP-GSP team; and serve as on-the-ground contacts with the Governments to ensure continuous follow-up support provided by the NAP GSP. Further, their role in South-South knowledge transfer is key to boost the efforts of the global support programme on dissemination of lessons learned and best practices of the NAP process.

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Yours Sincerely,

Stephen Gold

A handwritten signature in black ink, appearing to read 'Stephen Gold', written over a light blue horizontal line.

Team Leader for Climate Change (Global)  
Bureau for Programme and Policy Support

United Nations Development Programme

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United Nations Development Programme



Fiji

19 June 2015

No: 106  
Ref: PRO/300/REG

Dear Dr. Ishii,

**Subject: Co-financing letter for project “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans”**

UNDP is pleased to confirm USD \$4,000,000 as baseline co-financing to support the “*Expanding the Ongoing Support to Least Developed Countries (LDCs) 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 “**Pacific Risk Resilience Programme**” (PRRP) which is currently under implementation with a total budget of USD \$16million from the Government of Australia. PRRP is enhancing governance mechanisms to help strengthen the resilience of the communities in Tonga, Solomon Islands, Vanuatu, and Fiji to disasters and climate-related risks.

The interventions under PRRP focus on embedding risk into core development planning (policies, plans and budgets), at all levels (national, provincial, local, and community) in response to community priorities. In parallel, PRRP is facilitating the engagement and sharing of risk and resilience information across the Pacific region. Risk-governance capacity analysis, skills development, as well as the results of integrating risks into policies and plans will be key ‘building blocks’ for the National Adaptation Plan process in Pacific countries and could be replicated across the Pacific region.

The proposed global support programme will therefore ensure that the revised (climate and disaster risk-proof) policies and plans are part of the NAP processes in target LDCs: Solomon Islands and Vanuatu. Similarly, the proposed programme can build on the active knowledge exchange from PRRP to replicate best practices and methodologies in other LDCs in the region.

I look forward to GEF’s continuing support to enable least developed countries meet its GEF/LCDF project objectives.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Osnat Lubrani'.

Osnat Lubrani  
Resident Representative

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

cc: Pradeep Kurukulasuriya UNDP-GEF, Head – Climate Change Adaptation Programming  
Street Address: Level 8, Kadavu House, 414 Victoria Parade, Suva, Fiji • Mail Address: Private Mail Bag, Suva, Fiji •  
Phone: (679) 331 2500 • Fax: (679) 330 1718 • Email: [registry.fj@undp.org](mailto:registry.fj@undp.org) • Website: <http://www.undp.org.fj>

February 3, 2016

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 “Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)”.**

Dear Dr. Ishii,

UNEP is pleased to confirm US\$800,000 as baseline co-financing to support the “*Expanding the Ongoing Support to Least Developed Countries (LDCs) 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 UNEP DTU Partnership’s *Adaptation Mitigation Readiness Project (ADMIRE)*, which is currently under implementation. The project is funded by the Danish government, and is scheduled to be completed at the end of 2017. The objective of the ADMIRE project is to facilitate and provide assistance for private sector involvement in the design, implementation and financing of concrete implementable Nationally Appropriate Mitigation Actions (NAMAs) and actions to support National Adaptation Plans (NAPs). To do this, the project collaborates with applicants, local experts and national government representatives to identify appropriate models for private sector engagement. All developing countries are eligible for support through the ADMIRE project, including LDCs.

By providing support for private sector involvement in NAMAs and NAPs (specifically through ‘NAPactions’) in developing countries, the ADMIRE project is aligned with and will support the objective of the proposed LDCF project to strengthen the institutional and technical capacities of LDCs to advance their NAP process. The LDCF project will benefit from best practices and lessons learned regarding NAPs through the ADMIRE project. The LDCF project will also build on the technical expertise developed and mobilized in the private sector through the ADMIRE project.

Yours sincerely,

  
Peter Skotner  
Head of Project Management and Communication Unit,  
UNEP DTU Partnership

**Annex 10: Endorsement letters of GEF National Focal Points**

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

### Annex 11: Draft procurement plan

The table below specifies the technical assistance consultancies planned for Expanded NAP GSP.

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

## Annex 12: Tracking Tools

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

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)
<b>Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation</b>						
<b>Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritise, implement, monitor and evaluate adaptation strategies and measures</b>						
Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	Number of people	0	300			
	% female	0	30%			
<b>Objective 3: Integrate climate change adaptation into relevant policies, plans, and associated processes</b>						
<b>Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</b>						
Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes	Number of countries	0	20			
	Score	3	6			This score is based on the "Scoring Methodology" definition in the AMAT, but using an estimation of the level of institutional and technical

						<p>capacity 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 "3".</p>
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### Annex 13: UNDP & UNEP comparative advantage

The support that UNDP and UNEP will extend to LDCs for integrating climate change adaptation into medium- to long-term national planning processes draws from:

- on-the-ground experience and lessons learned through the Ongoing NAP GSP;
- in-house technical advisory services on key topics of relevance to climate resilient development, such as multi-dimensional poverty reduction, economics of adaptation, climate scenario analysis, integrated management and policy frameworks, sectoral specialisation (food security, water management, natural resource management, infrastructure, energy) and disaster risk reduction;
- experience with delivering technical and financial support to LDCs cost-effectively and at scale;
- on-the-ground experiences with linking climate changes impacts with poverty reduction, environmental sustainability and gender and social development agendas; and
- combining, sequencing and accessing finance from multiple sources, including public and private funds.

UNDP and UNEP support and assist countries to meet their commitments under various Multi-lateral Environmental Agreements. This includes *inter alia* support to enable countries to meet commitments under: i) the UNFCCC; ii) the Convention on Biological Diversity (CBD); iii) the United Nations Convention to Combat Desertification (UNCCD); and iv) the Stockholm Convention on Persistent Organic Pollutants<sup>42</sup>. Additionally, as part of the GEF Partnership, UNDP and UNEP have provided support to LDCs for combining and sequencing programmes and projects, and for accessing finance through vertical funds and other sources<sup>43</sup>. Moreover, LDCs have been provided with technical, financial and capacity development assistance from these agencies to facilitate the integration of climate change risks and uncertainties into relevant new and existing national policies, programmes – particularly in development and environmental planning processes – within all relevant sectors and at different levels.

The support provided by UNDP and UNEP includes experience and technical expertise that exists within the two organisations in assisting countries – especially LDCs – to foster an enabling environment for pursuing sustainable climate resilient development, and making sure that adaptation measures are environmentally sound and sustainable in the medium- to long-term. These experiences and lessons learned suggest that, to support LDCs, organisations require an ability to identify, vet, and access expertise on relevant thematic areas such as: i) vulnerability impact and assessments; ii) climate modelling, growth and poverty impacts (including the collection of sex-disaggregated data and data reflecting the needs of different societal groups); iii) climate modelling; iv) economics of adaptation; v) development of investment strategies; vi) advancing public and private sector collaboration in adaptation; vii) integrating gender into risk management strategies for climate change; viii) establishing institutional coordination mechanisms; and ix) facilitating broad-based stakeholder engagement.

Based on Ongoing NAP GSP, both UNDP and UNEP have the capacity to examine the current landscape on adaptation finance in LDCs, including: i) support that is already being

<sup>42</sup> This was done through support for NCSAs, NCs, NBSAPs, TNAs for climate change technologies, National Reporting for CBD, the UNCCD Country Support Programme, and the National Dialogue Initiative and National Adaptation Plans for both UNCCD and the Stockholm Convention.

<sup>43</sup> Such as the Least Developed Country Fund, Special Climate Change Fund and the Adaptation Fund.

delivered to countries via multiple channels within and outside of the UNFCCC process; ii) other opportunities that may have high transaction costs; iii) other barriers that make it difficult for LDCs to access such financing. Moreover, these organisations have the capability to ensure that delivery of support services is based on demand, and recognises the importance of a country-owned, country-driven process.

Through the Ongoing NAP GSP and other aligned initiatives, UNDP and UNEP have produced a number of toolkits and guidance material that can assist LDCs during this process.

## Annex 14: UNEP checklist for Environmental and Social Safeguards

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

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

<b>Project Title:</b>	Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).		
<b>GEF project ID and UNEP ID/IMIS Number</b>	5868 UNEP: 01306	<b>Version of checklist</b>	One
<b>Project status (preparation, implementation, MTE/MTR, TE)</b>	Under preparation	<b>Date of this version:</b>	March 2016
<b>Checklist prepared by (Name, Title, and Institution)</b>	<i>Nina Raasakka, Task Manager, GEF CCAU, DEPI UNEP.</i>		

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

### Section A: Project location

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

	Yes/No/N.A.	Comment/explanation
- Is the project area in or close to - - densely populated area	N/A	The Expanded NAP GSP is a global support programme that will strengthen the capacities of LDCs. As such there are no on-the-ground interventions related to a project location. The responses to this section are therefore all "N/A".
- cultural heritage site	N/A	
- protected area	N/A	
- wetland	N/A	
- mangrove	N/A	
- estuarine	N/A	
- buffer zone of protected area	N/A	
- special area for protection of biodiversity	N/A	
- Will project require temporary or permanent support facilities?	N/A	
<i>If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.</i>		

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

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

	Yes/No/N.A.	Comment/explanation
- Are ecosystems related to project fragile or degraded?	N/A	No specific ecosystems are related to the project.
- Will the project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	Not anticipated	No permanent infrastructure will be constructed for the project.
- Will project cause impairment of ecological opportunities?	N/A	The Expanded NAP GSP is a global support programme that will strengthen the capacities of LDCs. As such there are no on-the-ground interventions related to a project location. The responses to this section are therefore all "N/A".
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	N/A	
- Will project cause air, soil or water pollution?	N/A	
- Will project cause soil erosion and siltation?	N/A	
- Will project cause increased waste production?	N/A	
- Will project cause Hazardous Waste production?	N/A	
- Will project cause threat to local ecosystems due to invasive species?	N/A	
- Will project cause Greenhouse Gas Emissions?	N/A	
- Other environmental issues, e.g. noise and traffic	N/A	
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

**Section C: Social impacts**

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

	Yes/No/N.A.	Comment/explanation
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	Yes	The project will align with national policies, strategies and priorities in participating LDCs.
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	N/A	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	Not anticipated	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	Yes	The Expanded NAP GSP is designed to <i>inter alia</i> strengthen the capacity of government staff in LDCs for medium-to long-term adaptation planning. These

		stakeholders will benefit from training and additional institutional support. Additionally, extensive consultations will be undertaken with a diverse range of stakeholders in each of the participating countries.
- Will the project affect the state of the targeted country's (-ies') institutional context?	Yes	The project will focus on capacity building and knowledge sharing on medium- to long-term adaptation planning. Part of this includes training government ministries, as well as strengthening national mechanisms and disseminating information on good practices. Through these activities, the project will positively impact on the countries' institutional frameworks for effective medium- to long-term planning for climate change adaptation in accordance with national development priorities.
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial uses (water supply or fisheries)?	N/A	
- Will the project cause technology or land use modification that may change present social and economic activities?	Yes	The enhancement of capacity in LDCs for medium- to long-term planning for climate change adaptation is expected to result in improved socio-economic conditions.
- Will the project cause dislocation or involuntary resettlement of people?	Not anticipated	
- Will the project cause uncontrolled immigration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	Not anticipated	The project interventions do not entail any road or similar substantial infrastructure constructions.
- Will the project cause increased local or regional unemployment?	Not anticipated	
- Does the project include measures to avoid forced or child labour?	N/A	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	N/A	
- Will the project cause impairment of recreational opportunities?	N/A	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	Not anticipated	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	Not anticipated	The project will include a focus on gender equity and will promote gender-sensitivity during the implementation of project activities.
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	Not anticipated	
- Does the project include measures to avoid corruption?	Yes	According to UNEP norms and guidelines.

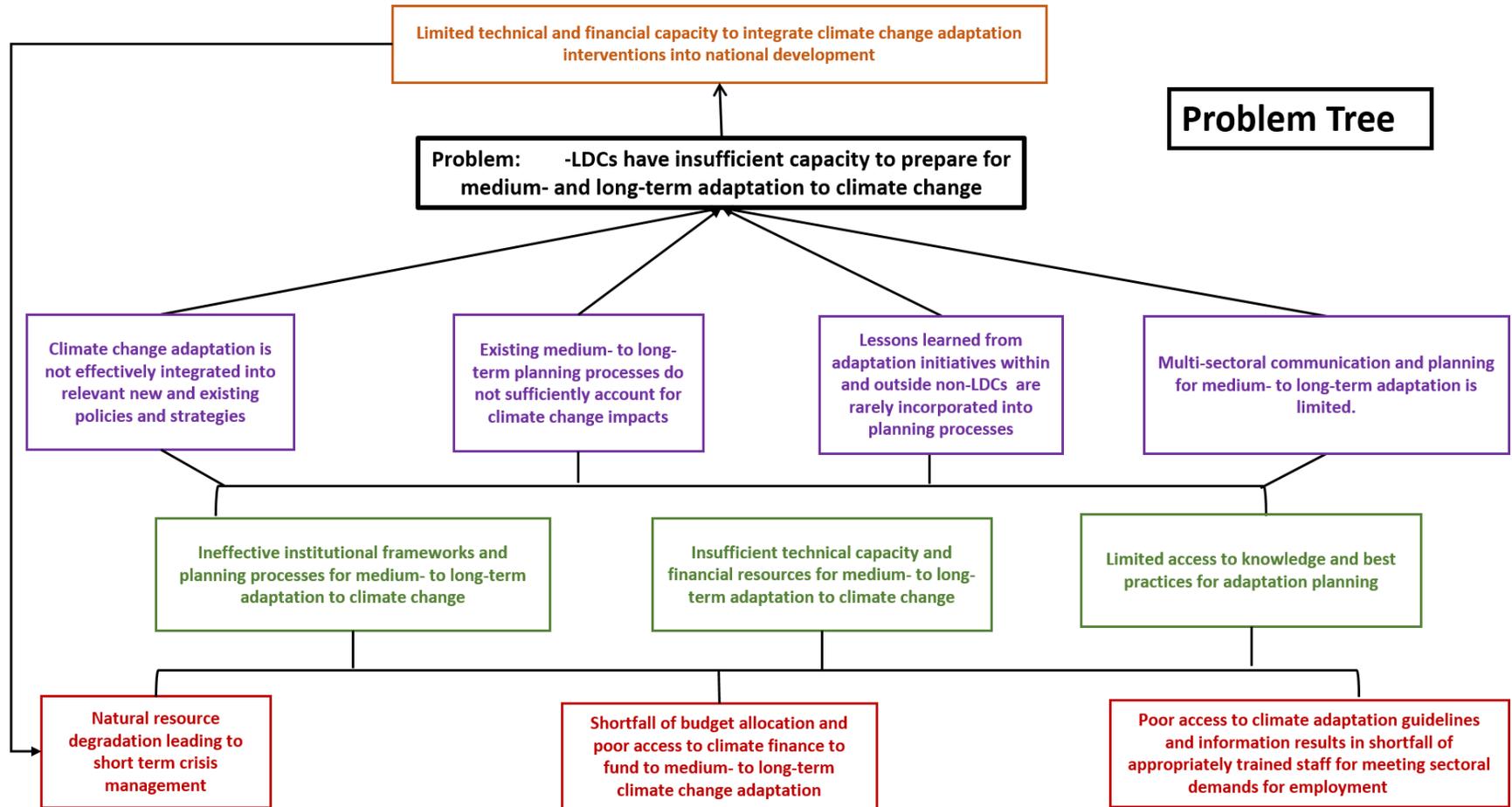
*Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.*

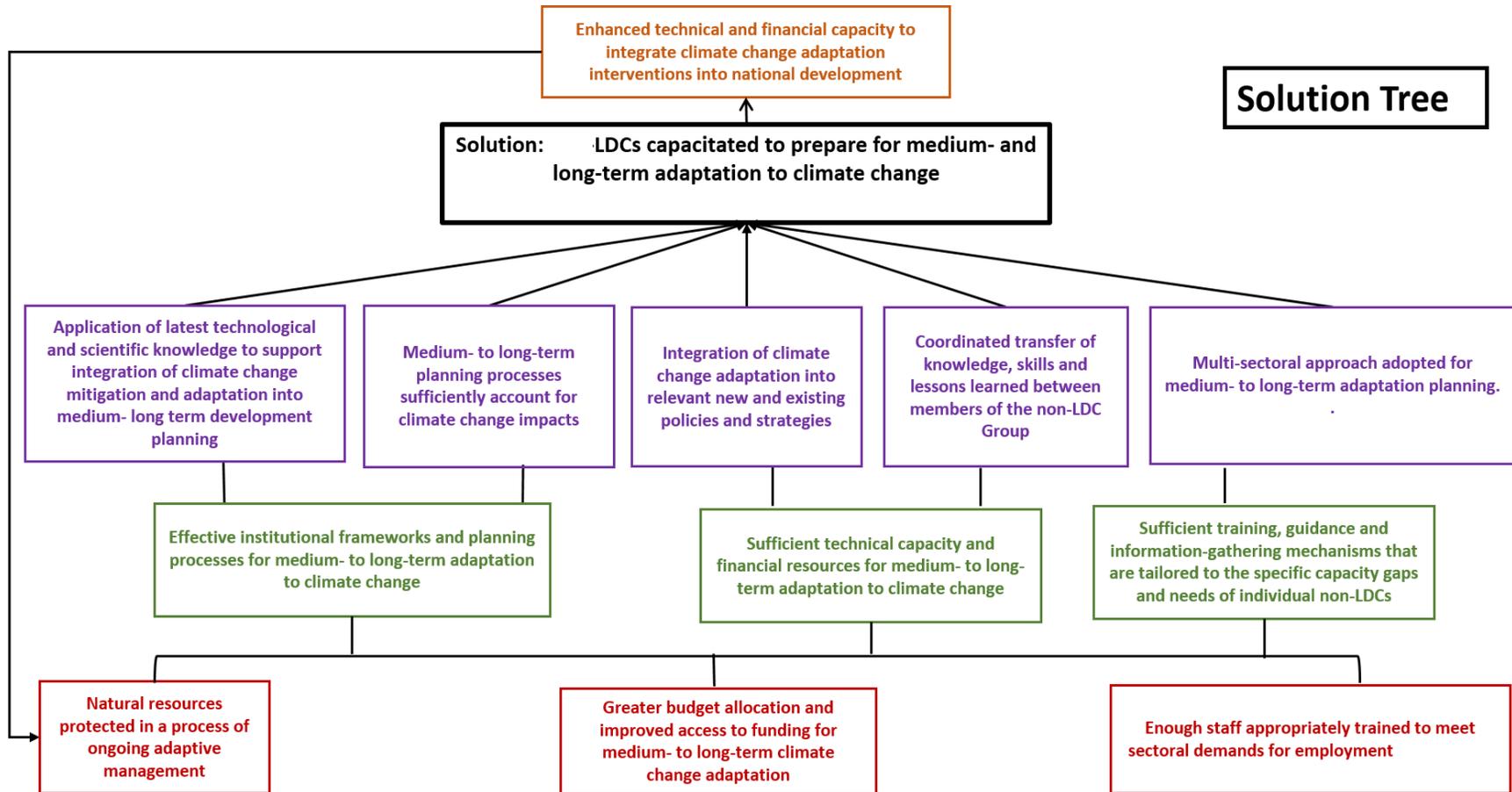
#### **Section D: Other considerations**

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

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	N/A	The project's activities will not result in direct impacts on the environment.
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	N/A	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	Not anticipated	The Ongoing NAP GSP – on which this project will build – was instigated at the need expressed by LDCs for a Global Support Programme for developing countries.
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	Yes	Medium- to long term positive environmental and social impacts are expected to accrue. This will be achieved as the project contributes to sustainable development planning through the generation of benefits and sharing of lessons learned. This will facilitate subsequent replication and upscaling.
- Is it possible to isolate the impact from this project to monitor E&S impact?	N/A	

Annex 15: Theory of Change





**Annex 16: Stakeholder consultations during the PPG identifying the priorities for support according to the elements and steps of the NAP process.**

Least Developed Countries	Consultation Notes
Angola	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Angola has not yet officially begun the process of developing a NAP.</li> <li>• However, institutional arrangements are in place to begin the process. The inter-ministerial committee on biodiversity and climate change could lead the process.</li> <li>• A request has been sent to UNDP for support in the NAP process.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• There is limited capacity to undertake vulnerability assessments within the country, particular at the local level.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• Regional workshops through the LEG and the Ongoing NAP GSP have been very useful for introducing the NAP process and raising awareness.</li> <li>• There is a need, however, for further dissemination of this information to additional stakeholders at a national level. Support for national training workshops on the NAP process would be appreciated.</li> <li>• Future training should focus on: <ul style="list-style-type: none"> <li>◦ vulnerability assessments for technical staff within the country; and</li> <li>◦ economic assessments of adaptation options.</li> </ul> </li> <li>• Lessons learned through the implementation of NAPA projects is valuable.</li> <li>• Current knowledge sharing mechanisms are useful. For future support, an online “helpline” offering technical advice would be useful. A list of FAQs regarding the NAP process would also be useful.</li> </ul>
Botswana (non-LDC)	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• The NAP process has yet to officially begin in Botswana.</li> <li>• Currently, a national climate change policy is being developed.</li> <li>• Next steps will include: <ul style="list-style-type: none"> <li>◦ An institutional gap analysis;</li> <li>◦ Identification of best-practices from neighbouring countries; and</li> <li>◦ Increasing awareness about climate change amongst policy-makers.</li> </ul> </li> </ul> <p><b>Priority needs/gaps:</b></p> <ul style="list-style-type: none"> <li>• Agriculture and Tourism have been identified as priority sectors.</li> <li>• Financial resources are limited to undertake the necessary assessments and analyses.</li> </ul>

Least Developed Countries	Consultation Notes
Eritrea	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• The vision and mandate for a NAP has been developed.</li> <li>• The national environmental management plan articulates a mandate for the formulation and implementation of a NAP.</li> <li>• The institutional arrangements for the NAP process have been defined.</li> <li>• A vulnerability assessment of priority sectors has been undertaken, through expert consultation. Based on this assessment, the most vulnerable sectors have been prioritised through a sensitivity matrix analysis.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• There are many different methods that can be used to identify climate change vulnerabilities. Further guidance on these different types of vulnerability assessments would be useful.</li> <li>• The LEG and NAP-GSP workshops have been useful for exchanging information, experiences and best-practice amongst countries.</li> <li>• Additional rounds of information-sharing between countries is required.</li> </ul>
Ethiopia	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Ethiopia has a comprehensive adaptation programme that incorporates all sectors and has been adopted by the national government.</li> <li>• They are now in the process of developing updating this into a formal NAP.</li> <li>• The relevant development plans and strategies that are important to the NAP process have been identified.</li> <li>• The institutional arrangements, in terms of which department will do what, where and when, have been defined.</li> <li>• Currently, work is being done to integrate climate change into relevant sectoral and provincial development plans.</li> </ul>
Gambia	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Gambia has begun laying the foundation for the NAP process.</li> <li>• Representatives have attended training session on the NAP process, and have acquired a good understanding of the process.</li> <li>• There is also information available to support the NAP process, including: <ul style="list-style-type: none"> <li>◦ NCs and NAPA; and</li> <li>◦ background paper on low carbon climate resilient development.</li> </ul> </li> <li>• They are currently developing a national climate change strategy, which will be completed in 2016.</li> <li>• Gambia is currently developing their INDC, and several training workshops are planned for this. Sensitisation on the NAP process will be included in these workshops.</li> </ul>
Haiti	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Haiti is at the beginning of the NAP process.</li> <li>• Currently gathering lessons learned on the NAP process to apply to their context.</li> <li>• Current focus is on increasing awareness amongst stakeholders.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Data collection is a challenge.</li> <li>• Travel distances can make it difficult to attend workshops/meetings.</li> </ul>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>• Limited technical capacity. They have lots of technicians but no experts.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• Ongoing NAP GSP and LEG workshops have been useful for sensitisation, gaining lessons learned and encouraging collaboration between countries. This should continue.</li> <li>• The following technical needs were identified: <ul style="list-style-type: none"> <li>◦ data collection methodologies, from national level to community level;</li> <li>◦ stocktaking of climate information;</li> <li>◦ vulnerability assessments – including data collection;</li> <li>◦ training of technical staff on waste management and river basin management.</li> </ul> </li> <li>• It would be preferable for Haiti to attend workshops that are presented in French.</li> <li>• Online platforms are a useful way of sharing knowledge and accessing technical expertise, but these systems should be cognisant of intermittent internet connectivity and different time zones.</li> </ul>
Lao PDR	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Lao PDR has not yet officially launched the NAP process.</li> <li>• Currently preparing the 3<sup>rd</sup> NC, which includes a capacity assessment.</li> <li>• The Climate Change Office will be responsible for developing a NAP.</li> <li>• They are currently receiving support from a UNDP for a disaster reduction project.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Data is dispersed across multiple ministries/departments.</li> <li>• Limited national technical capacity. They often require international consultants.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• The following technical needs were identified: <ul style="list-style-type: none"> <li>◦ stocktake of data requirements for a NAP;</li> <li>◦ technical assistance to undertake vulnerability and risk assessments; and</li> <li>◦ technical assistance to develop climate change scenarios.</li> </ul> </li> <li>• Ongoing NAP GSP workshops have been useful for understanding the NAP process, but more technical staff need to attend these workshops.</li> </ul>
Lesotho	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Lesotho has not officially launched a NAP process.</li> <li>• Activities required to begin a NAP process have been identified, including the formation of a national climate change group and the need to gather climate change information from ongoing projects within the country.</li> <li>• They have also identified specific activities where support is required. These include: <ul style="list-style-type: none"> <li>◦ enhancing the understanding of the NAP process among national stakeholders;</li> <li>◦ financial assistance, as government may not have the funds to support the development of a NAP; and</li> </ul> </li> </ul>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>◦ technical assistance with institutional and climate information stocktaking.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Financial limitations.</li> <li>• Lack of understanding amongst planning and finance sectors.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• A delegation from Lesotho has attended Ongoing NAP GSP and LEG regional workshops.</li> <li>• Current support is valuable for understanding the fundamentals of the NAP process.</li> <li>• Future workshops should continue to include country-specific presentations of lessons learned, as they are the most valuable for gaining relevant experience and encouraging one to think about the situation within your own country.</li> <li>• Lesotho is aware of guidelines and methodologies supplied by support programmes such as Ongoing NAP GSP, LEG and GIZ.</li> <li>• Currently, they do not receive the Ongoing NAP GSP newsletter.</li> <li>• For future support, interactive forums/webinars would be useful.</li> </ul>
Malawi	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• The NAP process has officially started in Malawi. It was launched in September 2014.</li> <li>• Most of the progress thus far has been within Element A, including; <ul style="list-style-type: none"> <li>◦ consultants to facilitate the development of a NAP have been recruited;</li> <li>◦ a 12 member NAP core team has been established;</li> <li>◦ experts from each sector have been identified; and</li> <li>◦ a technical training workshop on the NAP process (with 36 participants) has been undertaken.</li> </ul> </li> <li>• The next steps will be to cost the different elements of a NAP roadmap.</li> <li>• An LDCF PIF for NAP support has been submitted to GEF.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Limited human capacity.</li> <li>• Limited financial capacity.</li> <li>• It has been difficult to encourage private sector involvement.</li> <li>• Limited data and/or technical information required for vulnerability assessments and climate modelling.</li> <li>• Unpredictability of funding.</li> </ul>
Mozambique	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• The NAP process has yet to be officially started, however, progress has been made.</li> <li>• A national climate change strategy that includes short- medium- and long-term adaptation objectives has been developed. This strategy is also disaggregated by sector.</li> <li>• A national climate change policy has been developed, and a financial mechanism to fund adaptation has been established.</li> <li>• They are in the process of establishing the institutional arrangements required to develop a NAP. A multi-sector group on climate change has been established which includes private sector, public, CSO and academic stakeholders. A national climate change unit has also been established.</li> </ul>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>Local adaptation plans (LAPs) have been developed for many districts in Mozambique. The next step will be to transition these LAPs into a NAP.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>Time constraints on relevant technical staff means that they are not always able to attend training and support provided.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>Future support should include: <ul style="list-style-type: none"> <li>guidance on how to align the elements of the NAP process with government sustainable development priorities;</li> <li>technical assistance with vulnerability and risk assessment;</li> <li>technical assistance with stocktaking of climate data and data management; and</li> <li>training on prioritising adaptation and mitigation measures.</li> </ul> </li> <li>Additional support to provide capacity building to local government official is required.</li> <li>Mozambique receives the Ongoing NAP GSP newsletter and accessing the project website. They find both useful.</li> <li>Agriculture has been identified as a priority sector, and additional training on assessing vulnerability and identifying adaptation measures (such as conservation agriculture) would be useful in future support.</li> </ul>
Nauru (non-LDC)	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>They have yet to begin the NAP process.</li> <li>The NAPA has just been approved and therefore they are now seeking funding for these projects.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>Travel distances make it difficult for them to attend regional workshops. They did however attend the LEG/NAP GSP Pacific NAPS regional training workshop in Vanuatu.</li> </ul>
Nepal	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>Nepal has begun the NAP process.</li> <li>Currently they are developing Local Adaptation Plans of Action (LAPAs), and more than 100 have already been developed. These will form the basis for a NAP.</li> <li>They are currently receiving support from several initiatives to strengthen the National Climate Change Directorate (UNDP, UNEP, DFID, NDRC, GEF). This includes technical support.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>Coordination among ministries.</li> <li>Limited awareness of the NAP process among different ministries.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>Workshops have been useful to gain a general understanding of the NAP process.</li> <li>Future workshops should include more technical people from different ministries.</li> <li>They would appreciate one-on-one support to establish a coordination mechanism (Basket Fund) for climate change finance within Nepal.</li> </ul>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>• Knowledge products generated through the Ongoing NAP GSP are useful, but are not always disseminated amongst all the relevant national officials.</li> <li>• Nepal makes use of the available websites (GSP NAP and NAP Central).</li> </ul>
Somalia	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Somalia is at the very beginning of the NAP process.</li> <li>• The government is in the process of establishing a mandate for the National Environment Management Agency to develop a NAP.</li> <li>• A gap analysis has been undertaken, and they are in the process of accessing relevant data to fill some of these gaps, often from neighbouring countries or global programmes.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Government restructuring at the state level has meant that it is challenging to identify the correct local institutions to consult/engage in the NAP process.</li> <li>• Limited technical expertise within the country has meant that establishing a technical team to lead certain elements of the NAP process has been a challenge.</li> </ul>
South Sudan	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• South Sudan gained accession to the UNFCCC in May 2014.</li> <li>• They are now in the process of preparing a NAPA. They will complete preparation of the NAPA before they begin to develop a NAP.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• As South Sudan is at the very beginning of the process, they require a wide range of support.</li> <li>• There is a need to build technical capacity within the country, particularly with regards to climate data collection, analysis and management.</li> <li>• South Sudan has yet to make any formal requests of support to GEF or the Ongoing NAP GSP. They will do so soon.</li> </ul>
Sudan	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Sudan have begun to develop a NAP.</li> <li>• The preparation of a NAP is one of the main objectives of Sudan's national implementation strategy for climate change.</li> <li>• There is currently an ongoing project in Sudan with UNEP Sudan and funded by DFID to support the NAP process.</li> <li>• The process for developing the NAP has included: <ul style="list-style-type: none"> <li>◦ establishing focal points and technical teams;</li> <li>◦ national capacity building and experience-sharing workshops;</li> <li>◦ regional capacity building workshops;</li> <li>◦ state-level awareness-raising workshops where adaptation options will be identified; and</li> </ul> </li> </ul>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>◦ support to state institutions to strengthen their data collection capabilities.</li> <li>• Sectoral vulnerability assessments have been undertaken and adaptation options have been identified.</li> <li>• A draft NAP document has been produced, which includes: <ul style="list-style-type: none"> <li>◦ NAP framework;</li> <li>◦ Vulnerability assessments; climate change impacts and identified adaptation options;</li> <li>◦ Implementation strategy; and</li> <li>◦ State-level summaries.</li> </ul> </li> <li>• The way forward is to integrate adaptation options in policies and ongoing development and to establish an M&amp;E system.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Financial resources.</li> <li>• Establishing institutional arrangements takes time and buy-in.</li> <li>• Large geographical area makes consultations difficult.</li> <li>• Limited capacity at the state level.</li> </ul>
Swaziland	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Swaziland is in the very early stages of the NAP process.</li> <li>• In 2011, a national climate change committee was established. They were tasked to develop a national climate change strategy and a national climate change policy.</li> <li>• A draft climate change strategy and action plan was developed in 2014.</li> <li>• Currently, they are finalising a national climate change policy. In addition, Swaziland is currently reviewing their national Vision 2022, which will include the integration of climate change into this guiding document.</li> <li>• Furthermore, they are in the process of completing sectoral vulnerability assessments (for water, health, agriculture and biodiversity). Based on these assessments, sectoral action plans will be developed.</li> <li>• It is planned to officially launch the NAP in 2016/17.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Limited financial resources.</li> <li>• Human capacity, as staff are often involved in many different projects.</li> <li>• Technical capacity; they require training on climate change science.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• Ongoing NAP GSP provided an understanding of the fundamental elements of a NAP.</li> <li>• The LEG guidelines have also been valuable.</li> <li>• Swaziland would appreciate one-on-one technical support to guide them through the NAP process and assist with the development of a NAP roadmap.</li> <li>• Swaziland receives the Ongoing NAP GSP newsletter and utilises the web portal. They also utilise the NAP Central website.</li> <li>• Suggestions for future support including technical backstopping through an interactive forum.</li> </ul>

Least Developed Countries	Consultation Notes
Tanzania	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Tanzania is in the initial stages of the NAP process.</li> <li>• A NAP roadmap was developed in 2013, and a NAP team has been established.</li> <li>• Most of the progress thus far has been within Element A, and has included: <ul style="list-style-type: none"> <li>◦ awareness raising and training;</li> <li>◦ stocktaking of ongoing adaptation options and assessments;</li> <li>◦ vulnerability assessments for priority sectors; and</li> <li>◦ downscaling climate models.</li> </ul> </li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Limited financial resources to implement the different elements of the NAP roadmap.</li> <li>• Limited capacity of climate change desk officers.</li> <li>• There are no ongoing support initiatives for the NAP process in Tanzania.</li> </ul> <p><b>Comments of current/future support:</b></p> <ul style="list-style-type: none"> <li>• Ongoing NAP GSP and LEG support has been valuable for information- and experience-sharing between countries. Future support should focus on this, as well methods for harmonising climate change adaptation procedures between different sectors.</li> <li>• Ongoing NAP GSP workshops have provided a clear understanding of NAP objectives and benefits for the country.</li> <li>• A NAP orientation for senior decision-makers, followed by technical training workshops, was supported by Ongoing NAP GSP in Tanzania.</li> <li>• The LEG guidelines have been utilised, but they require some modifications for the Tanzanian context.</li> <li>• Support to manage, compile and disseminate climate change information and data would be valuable.</li> <li>• Capacity-building on project proposal writing to access climate change finance would be valuable.</li> <li>• Tanzania is currently engaged with the AU, EAC, SADC and UNFCCC international platforms for climate change.</li> <li>• The Ongoing NAP GSP newsletter is received and utilised and Tanzania.</li> </ul>
Tuvalu	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Tuvalu has developed a JNAP, with the support of SPREP and SOPAC, which is currently under review.</li> <li>• Tuvalu is currently preparing to develop a NAP.</li> <li>• Currently, they are setting up the institutional arrangements required and they have established a National Advisory Council on climate change. The government has also approved the establishment of a new climate change unit.</li> <li>• The next steps will be to set up structures to coordinate the NAP process and conduct stakeholder consultations to identify relevant sectoral development plans.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Lack of data.</li> <li>• Limited financial resources.</li> <li>• Limited technical expertise.</li> </ul> <p><b>Comments of current/future support:</b></p>

Least Developed Countries	Consultation Notes
	<ul style="list-style-type: none"> <li>• Regional workshops (Ongoing NAP GSP and LEG) have been valuable to learn lessons from other countries, specifically other Pacific island countries.</li> <li>• Future workshops should include topics on the integration of climate change into key sectors, including an understanding of how climate change impacts on these key sectors.</li> <li>• The following technical needs were identified: <ul style="list-style-type: none"> <li>◦ vulnerability assessment of key sectors (water, agriculture and coastal) to identify needs and priorities;</li> <li>◦ establishment of an M&amp;E framework;</li> <li>◦ stocktaking of data and data requirements; and</li> <li>◦ training on data collection and management.</li> </ul> </li> <li>• Internet connectivity can be challenging in Tuvalu, and therefore it was suggested that knowledge products should not be limited to online materials.</li> </ul>
Uganda	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• The NAP process has not been formally launched, however, some progress has been made.</li> <li>• National coordination mechanisms for the NAP process have been established.</li> <li>• Lessons learned from other climate change projects (e.g. NAPA) have been documented.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Time constraints on relevant climate change officials who are also engaged with other processes (e.g. revision of the national climate change policy).</li> </ul>
Zambia	<p><b>NAP progress:</b></p> <ul style="list-style-type: none"> <li>• Zambia is at the beginning of the process of integrating climate change into national development planning.</li> <li>• The previous National Development Plan did not include climate change until the very end of its development.</li> <li>• A draft NAP roadmap was developed in 2014. Based on this roadmap, progress has been made to: <ul style="list-style-type: none"> <li>◦ increase awareness of the NAP process;</li> <li>◦ develop a common understanding of the NAP process among sectors; and</li> <li>◦ identify key sectoral planners as entry-points.</li> </ul> </li> <li>• A climate-proofing manual for development sectors has been developed.</li> <li>• Zambia has received support from Germany to mainstream climate change into development planning.</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• Unpredictable timing of NAP entry-points (e.g. revision of the National Development Plan).</li> <li>• Low awareness of the NAP process within the planning and finance departments.</li> <li>• Absence of sectoral focal points for NAP of climate change results in <i>ad hoc</i> capacity building.</li> <li>• Absence of a mechanism to harmonise the NAP development with ongoing activities/initiatives.</li> </ul>

## Annex 17: Toolkits and guidance from related initiatives

### NAP-related tools that have been shared through the ALM platform

Tool	Year uploaded	Description
Guidance on Generating Content: Capturing and Creating Stories, Photos and Films	12 Feb 2015	This guidance provides information on processes, resources and tools that your teams can use to capture raw materials and use them to develop communications products.
Project Management Training for GEF LDCF, SCCF and AF Project Teams	02 Feb 2015	Asia and Pacific adaptation portfolio includes 31 ongoing projects with a total value of \$139 million. Supporting Integrated Climate Change Strategies; advancing Cross-sectoral Climate Resilient Livelihoods and strengthening Climate Information and Early Warning Systems are the main areas of intervention. The cumulative effect of the portfolio in the region can be substantial providing that the implementation pace and delivery can be maintained at expected UNDP standards.
CIRDA Procurement Guidance	24 Oct 2014	A brief fact sheet developed by the PSO Unit and CIRDA Experts on Alternative Technologies to guide to partner countries in their efforts to procure new technologies.
Supporting NAP Development with the PROVIA Guidance - A user companion	22 Feb 2014	<p>The goal of the PROVIA Guidance is to provide clear technical guidance that combines robust science with explicit consideration of user needs at local, national and international levels. It is meant to be useful to a wide array of audiences in both developing and industrialized countries, including researchers, consultants, policy analysts and sectoral planners who have some prior knowledge on climate risk assessment and adaptation.</p> <p>The PROVIA Guidance does not prescribe a particular process or approach for assessing climate change vulnerability, impacts and adaptation, but rather covers the range of available approaches, methods and tools. It presents users with a structured set of relevant methods for each task, with decision trees to help guide them through key choices. It also explains how to apply the chosen methods, and directs them to additional resources.</p>
Cost Benefit Analysis for Natural Resource Management in the Pacific: a Guide	12 Dec 2013	There is a wide variety of guides and manuals on CBA across the globe. However, up to now there has been no published document that brings together the steps of CBA with an emphasis on the Pacific region. This guide is intended to fill that gap. It aims to support Pacific government and non-governmental organisations in their CBA activities, and to support training and capacity development in this area. The guide is also intended to standardise approaches to CBA by the agencies involved – SPC, SPREP, PIFS, USP, GIZ, UNDP –

		so that practitioners receive consistent advice and support.
Lao PDR – GEF Trust Project, Training of Trainers Manual for Participatory Natural Resources Management	24 Aug 2013	This manual aims to assist trainers to conduct natural resource management sessions or environmental awareness training workshops/meetings. This is a part of the capacity building component of the project titled “Strengthening the Capacity to Implement Natural Resources Legislation in Lao People’s Democratic Republic”.
PROVIA Guidance on Assessing Vulnerability, Impacts and Adaptation to Climate Change	20 Aug 2013	The PROVIA Guidance, published in November 2013, aims to meet a growing demand for knowledge on climate change vulnerability, impacts and adaptation. It provides clear technical guidance that combines robust science with explicit consideration of user needs at the local, national and international levels, in both developed and developing countries. It is a particularly important resource when preparing National Adaptation Plans.
UNDP Lao PDR – Climate Change Training and Adaptation Module (CCTAM) 5 - Small Livestock Production	03 July 2013	The CCTAMs have been developed as part of the target outputs for the project titled “Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts.” They provide an overview of challenges faced, as well as range of options to address the issues related to natural resource degradation.
UNDP Lao PDR – Climate Change Training and Adaptation Module (CCTAM) 4 - Crop Production	02 July 2013	<p>The CCTAMs have been developed as part of the target outputs for the project titled “Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts.” They provide an overview of challenges faced, as well as range of options to address the issues related to natural resource degradation.</p> <p>The fourth in a series of five, CCTAM 4 is entitled “Climate Change Adaptation in Crop Production.” It gives a range of recommendations for adaptation practices in crop production such as – soil fertility management, innovative nature-based production systems etc.</p>
UNDP Lao PDR – Climate Change Training and Adaptation Module (CCTAM) 3 - On-Farm and Community Level Water Management	02 July 2013	<p>The CCTAMs have been developed as part of the target outputs for the project titled “Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts.” They provide an overview of challenges faced, as well as range of options to address the issues related to natural resource degradation.</p> <p>The third in a series of five, CCTAM 3 is entitled “Climate Change Adaptation through On-farm and Community Level Water Management.” It provides a set of participatory tools and technologies for implementing climate change adaptation in community water management.</p>
UNDP Lao PDR – Climate	02 July 2013	The CCTAMs have been developed as part of the

Change Training and Adaptation Module (CCTAM) 2 - Lowland Farming		target outputs for the project titled “Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts.” They provide an overview of challenges faced, as well as range of options to address the issues related to natural resource degradation.
UNDP Lao PDR – Climate Change Training and Adaptation Module (CCTAM) 1 - Upland Farming	02 July 2013	The CCTAMs have been developed as part of the target outputs for the project titled “Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts.” They provide an overview of challenges faced, as well as range of options to address the issues related to natural resource degradation.
National Adaptation Plans - Technical Guidelines for NAP Process	11 June 2013	The Least Developed Countries Expert Group (LEG) technical guidelines are aimed at assisting developing countries to produce their National Adaptation (NAPs) in a comprehensive and strategic manner.
Community Risk Assessment: Facilitators' Guidebook	29 Aug 2012	<p>CRA (Community Risk Assessment) is a participatory process for assessing hazards, vulnerabilities, risks, ability to cope, preparing coping strategies and finally preparing a risk reduction options implementation plan by the local community. CRA uses scientific information and predictions and participatory discourses to identify, analyse and evaluate risk environment of a particular community, reach consensus amongst the community on actions that are needed to manage the risk environment. The method recognizes that the vulnerability, loss, reduction or mitigation strategy and coping mechanism vary from community to community and group to group (women, person with disability, landless, farmers-fisher folks, etc) of a same community. So it ensures representation of professional, community and other groups and that their points of views are reflected.</p> <p>This CRA user manual was developed with the financial and technical assistance of CDMP Programme of Ministry of Food and Disaster Management funded by DFID and UNDP.</p>
Guidance on How to Update the SGP Database	29 Aug 2012	Primer on how to enter SGP Projects into the SGP Database. Monitoring and evaluation information, including VRA scores and qualitative information and IAS indicators, should be entered into the SGP database for every CBA project. This allows the CBA to track to progress at the project and portfolio level. It is an essential part of the M&E crucial to project success.
Training Manual on Water Integrity	22 Aug 2012	The training manual is intended to develop institutional capacities and prepare for change through increased knowledge and enabled action on integrity, transparency and accountability. It provides conceptual groundings, examples of good practices and applications of anti-corruption

		measures in the implementation of intergrated water resource management.
Online tutorial: IWRM as a tool for adaptation to Climate Change	22 Aug 2012	This tutorial is intended to demonstrate how IWRM concepts and instruments can be utilised for adaptation to climate change. It has been developed by Cap-Net UNDP in collaboration with WMO-APFM and with contributions from UNESCO-IHE, REDICA and Rhama.
Users Guide to the Vulnerability Risk Assessment	17 Aug 2012	The UNDP Adaptation Monitoring & Evaluation (M&E) Framework serves as a tool for assessing key results across a diverse portfolio of adaptation projects at multiple scales and involving multiple approaches and geographic foci. In the context of this framework, the Vulnerability Reduction Assessment (VRA) approach is an important mechanism in tracking results using a set of indicators related to reduction of vulnerability and improvement of adaptive capacity. The VRA has been implemented in a growing number of local initiatives under UNDP's Community Based Adaptation (CBA) Programme, with funding from the Global Environment Facility. It is designed to be one component of the measurement of changing climate vulnerabilities of communities, and to be comparable across different projects, regions, and contexts, making it possible to determine if a given project is effective in improving adaptive capacity.
Toolkit for Designing Climate Change Adaptation Initiatives	17 Aug 2012	Toolkit to support all those involved in the design of measurable, verifiable, and reportable adaptation initiatives.
Gender, Climate Change, and Community-Based Adaptation: A Guidebook for Designing and Impelementing Gender-Sensitive Community-Based Adaptation Programmes and Projects	17 Aug 2012	A publication as a result of the on-going collaboration between UNDP-GEF CBA and UNDP Gender Team. It aims to ensure that forthcoming CBA projects contribute to the achievement of gender equality and women's empowerment by integrating a gendered perspective into CBA programming and project design.
Protecting Health from Climate Change - Connecting Science, Policy, and People (WHO).	07 Aug 2012	This report provides an update of the evidence on health risks caused by climate change, describes which populations are most vulnerable, and outlines the actions that will be necessary to protect health from climate change. It presents effective interventions that would save lives now and reduce vulnerability to climate change in the future, as well as policy options in sectors such as transport and energy production, that could simultaneously improve health and reduce emissions of greenhouse gases that cause climate change.
USAID Adapting to Coastal Climate Change - A Guidebook for Development Planners	06 Aug 2012	This coastal adaptation Guidebook is a companion document to the V&A Manual and provides the practitioner with more detailed and sector-specific guidance for responding to climate variability and change impacts on coastal areas. The emphasis is on developing country contexts.

Screening Tools & Guidelines to Support Mainstreaming Climate Change Adaptation into Development Assistance	06 July 2012	The report explores the rationale for mainstreaming, outlines the main components necessary to operationalize mainstreaming, and indicates the various relevant levels and associated entry points to consider in the mainstreaming process. The report discusses and illustrates how key climate change adaptation and mainstreaming concepts are defined and used – both in relevant literature and in practice – as well as how they relate to development.
Designing Climate Change Adaptation Initiatives: A Toolkit for Practitioners	05 July 2012	The toolkit is a step-by-step guide on how to develop adaptation initiatives in developing countries. The guide helps to understand how to differentiate between a climate change “adaptation” and a traditional development initiative, and what key elements must be considered when developing and designing an adaptation initiative. It sets out the fundamental components of the design process, the approach to building stakeholder consensus, and key tools and methodologies.

Cross-cutting / multi-sector tools and approaches for adaptation (UNFCCC)

Theme	<b>Climate downscaling techniques and regional models</b>
Cross-Cutting Issues and Multisector Approaches	Statistical DownScaling Model (SDSM)
	Dynamical Downscaling
	MAGICC/SCENGEN
	Weather Generators
	COSMIC2 (Country Specific Model for Intertemporal Climate Vers. 2)
	PRECIS (Providing Regional Climates for Impacts Studies) – The Hadley Centre regional climate modeling system
	<b>Socioeconomic scenarios</b>
	Developing Socioeconomic Scenarios: For Use in Vulnerability and Adaptation Assessments
	Adoption of Existing Socioeconomic Scenarios
	Qualitative and Quantitative Scenarios Emphasizing Stakeholder Input
Decision Tools	Policy Exercise
	Benefit-Cost Analysis
	Cost-Effectiveness
	Multicriteria Analysis (MCA)
	Tool for Environmental Assessment and Management (TEAM)
	Adaptation Decision Matrix (ADM)
	Screening of Adaptation Options
Stakeholder Approaches	Stakeholder Networks and Institutions
	Scoping
	Vulnerability Indices
	Agent Based Social Simulation
	Livelihood Sensitivity Exercise

	Multistakeholder Processes
	Global Sustainability Scenarios
Other Multisector Tools	Climatic Change and Variability (CCAV)
	Expert Judgment
	Historical or Geographic Analogs: Forecasting by Analogy
	Uncertainty and Risk Analysis
	Estimating Adaptation Costs: M-CACES

### Summary of tools in agricultural sector (UNFCCC)

Tool	Description
APSIM (Agricultural Production Systems sIMulator)	Modeling framework with the ability to integrate models derived in fragmented research efforts.
WOFOST	Simulates the daily growth of a specific crop, given the selected weather and soil data.
ACRU (Agricultural Catchments Research Unit)	Multipurpose model that integrates water budgeting and runoff components of the terrestrial hydrological system with risk analysis.
Process Soil and Crop Models: CENTURY	General model of plant-soil nutrient cycling that has been used to simulate carbon and nutrient dynamics for different types of ecosystems.
ORYZA 2000	Rice growth model.
Information and Decision Support System for Climate Change Studies in South East South America (IDSS-SESA Climate Change)	Studies the impacts of possible climate change scenarios on agricultural production and natural resource base.
Decision Support Systems Linking Agro-Climatic Indices with GCM-Originated Climate Change Scenarios	Calculates agro-climate for the climate change scenarios and explores adaptive management options
Model of Agricultural Adaptation to Climatic Variation (MAACV)	Provides structure and hypotheses for numerical impact assessments in agriculture; particularly for developed economies.
Relative Risk Index (RRI)	Illustrates the relative risk positions of individuals (before or after adaptation) and begin to explain changes in cropping practices.
Government Support in Agriculture for Losses due to Climatic Variability	Describes and evaluates the sustainability of government support programs that are provided in response to climate variability and weather extremes.
Process Crop Models: International Consortium for Application of Systems Approaches to Agriculture (ICASA) — International	Measures changes in crop yields and yield components relative to different climate change scenarios.
Process Crop Models: General-Purpose Atmospheric Plant Soil Simulator (GAPS 3.1)	Calculates crop yield and yield components.
Process Crop Models: Erosion Productivity Impact Calculator (EPIC)	Measures response of crop yields, yield components, and irrigation requirements to climate change adaptations.
Irrigation Model: CROPWAT	Used to test the efficiency of different irrigation strategies under climate change.

Process Crop Models: Alfalfa 1.4	Used to test a wide range of management issues and for coupling to insect and disease models.
Process Crop Models: AFRC-Wheat	Investigates the inter-annual variation in the length of vegetative and floral development and grain filling periods driven by historic climate data.
Process Crop Models: RICEMOD	Studies the relative constraining effects of radiation, leaf blade nitrogen content, respiration rate, and assimilate partitioning on rice plant growth.
Process Crop Models: GOSSYM/COMAX	Effective aid to cotton growers, crop consultants, and researchers in the management of irrigation water, nitrogen, plant growth regulators, and crop termination chemicals.
Process Crop Models: GLYCIM	Used for crop management, decision making, and input optimization.
Economic Models: Econometric (Ricardian-Based) Models	Measures potential changes in regional or national cropping patterns, land prices, production, revenues, and profits.
Economic Models: Input-Output Modeling (with IMPLAN)	Retrieves and reduces data, develops model and analyses impact. Designed specifically for the US.

#### Summary of tools in water sector (UNFCCC)

Tool	Description
WaterWare	Calculates water allocations at demand nodes, flows in river reaches, water quality constituents throughout water system, aquifer dynamics, and other water system components.
Water Evaluation and Planning System (WEAP)	Calculates mass balances, water diversions, sectoral water use; benefit/cost scenario comparisons; pollution generation and pollution loads.
RiverWare	Used to model resource demands on complex water systems governed by water law and intricate operating rules.
Interactive River and Aquifer Simulation (IRAS)	Used in long-range planning to evaluate the performance or impacts of alternative designs and operating policies of regional water resource systems.
Aquarius	A computer model depicting the temporal and spatial allocation of water flows among competing traditional and nontraditional water uses in a river basin.
RIBASIM	A generic model package for simulating the behavior of river basins under various hydrological conditions.
MIKE BASIN	Used to address water allocation, conjunctive use, reservoir operation, or water quality issues.
SPATIAL TOOLS FOR RIVER BASIN ENVIRONMENTAL ANALYSIS AND MANAGEMENT (STREAM)	Spatial hydrological model that allows for assessing hydrological impacts due to changes in climate and socio economic drivers

#### Summary of tools for coastal resources (UNFCCC)

Tool	Description
IPCC Common Methodology	Presents a list of analyses that should be done, but does not explicitly instruct the user on how to perform the analyses.
UNEP Handbook Methodology	Establishes a generic framework for thinking about and responding to the problems of sea level rise and climate change.
Decision Support Models:	Computer-based decision-support model that allows coastal zone

COSMO (Coastal zone Simulation MOdel)	managers to evaluate potential management strategies under different scenarios.
The South Pacific Island Methodology (SPIM)	Index-based approach that uses relative scores to evaluate different adaptation options in a variety of scenarios.
RamCo and ISLAND MODEL	Cell-based decision support tools designed as a means of asking structured questions about how external and internal components of coastal zone management problems interact.
Dynamic Interactive Vulnerability Assessment (DIVA)	Tool for integrated assessment of coastal zones.
Shoreline Management Planning (SMP)	Generic approach to the strategic management of the combined hazards of erosion and flooding hazards in coastal areas.

### Summary of tools for human health sector (UNFCCC)

Tool	Description
MIASMA (Modeling Framework for the Health Impact Assessment of Man-Induced Atmospheric Changes)	Windows-based modeling application that models several health impacts of global atmospheric change.
Environmental Burden of Disease Assessment	An EBD assessment for climate change will indicate which impacts could be greatest and in which regions.
CIMSiM and DENSiM (Dengue Simulation Model)	Simulation entomological model that produces mean-value estimates of various parameters for all cohorts of a single species of <i>Aedes</i> mosquito within a representative 1 ha area
UNFCCC Guidelines: Methods of Assessing Human Health Vulnerability and Public Health Adaptation to Climate Change	Provides information on qualitative and quantitative methods of assessing human health vulnerability and public health adaptation to climate change.
LymSiM	Simulates the population dynamics of the blacklegged tick, <i>Ixodes scapularis</i> , and the dynamics of transmission of the Lyme disease agent, <i>Borrelia burgdorferi</i> , among ticks and vertebrate hosts.
Mapping Malaria Risk in Africa (MARA) Low-end Information Tool (LITe)	Biological model of <i>Falciparum</i> malaria transmission that sets decision rules which govern how minimum and mean temperature constrain the development of the parasite and the vector and how precipitation affects survival and breeding.

### Summary of tools for environmental sector (UNFCCC)

Tool	Description
LPJ (Lund-Postdam-Jena Model)	Combines process-based, large-scale representations of terrestrial vegetation dynamics and land-atmosphere carbon and water exchanges in a modular framework.
IBIS (Integrated Biosphere Simulator)	Performs integrated assessments of water balance, carbon balance, and vegetation structure on both global and regional scales based on an integrated modeling approach.
Medrush Vegetation Model	Landscape-scale model of vegetation structure and productivity, hydrology and soil erosion.
CENTURY	Simulates C, N, P, and S dynamics through an annual cycle over time scales of centuries and millennia.
MC1	Consists of three linked modules simulating biogeography, biogeochemistry, and fire disturbance.
IMAGE (Integrated Model to	Takes a global approach with the entire earth system as the

Assess the Greenhouse Effect)	subject of investigation. Its main use is scenario analysis of the issue of anthropogenic climate change due to the greenhouse effect.
AEZ (Agro-ecological Zones) Methodology	Enables rational land-use planning on the basis of an inventory of land resources and evaluation of biophysical limitations and potentials.
CASA (Carnegie-Ames-Stanford Approach) Model	Calculation of monthly terrestrial NPP is based on the concept of light-use efficiency, modified by temperature and moisture stress scalars.
TEM (Terrestrial Ecosystem Model)	Describes carbon and nitrogen dynamics of plants and soils for terrestrial ecosystems of the globe.

### NAP-related tools that have been shared through other platforms

Tool	Description
Climate Protection Programme for Developing Countries (CaPP) (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.
Nationally Appropriate Mitigation Actions (NAMA) tool (GIZ)	<p>The NAMA-Tool guides practitioners through the process of developing and implementing NAMAs with brief step-by-step instructions. It guides users to relevant information, knowledge, instruments, and publications available.</p> <p>The tool presents the process of NAMA development in ten steps: This approach is designed to supply users with data and accessible instruments for each aspect of the NAMA development process. the tool is designed to help prepare for implementation of NAMAs, but is first and foremost a navigation tool, guiding practitioners through the process of developing a NAMA. It is not an instrument for the implementation of NAMAs itself and does not provide sector specific instructions, but includes links to sector-specific expertise and handbooks. References to available sector focused handbooks are discussed in greater detail below.</p> <p>As cities have extensive influence over key greenhouse gas (GHG) emissions sectors (e.g. buildings, transport, waste) the NAMA-Tool will address the integration of multiple levels of government in the process of NAMA design and implementation and will show how sub-national levels can successfully contribute to delivering national GHG mitigation target.</p>
Measurement, reporting and verification (MRV) Tool (GIZ)	The MRV Tool provides developers and implementers of NAMAs with brief step-by-step instructions on how to develop a MRV-System. The tool navigates users to the relevant information, knowledge, instruments, and publications available.
Low-Emission Development Strategies (LEDS) tool (GIZ)	Low-Emission Development Strategies (LEDS) are long-term national strategies for reducing emissions while promoting sustainable development. They can provide an

	<p>overall framework for the development of NAMAs. The LEADS-Tool guides practitioners, developers and implementers step-by-step through the process of developing and implementing a LEADS. The process is structured into six steps: The six step approach is designed to lead users to relevant information about accessible instruments for the various aspects of LEADS development.</p>
ICLEI Tools (GIZ)	<p>ICLEI provides programmes and a broad range of tools to help cities develop more sustainable urban management, covering the topics of urban design, eco-budgeting, urbanisation, sustainability management and eco-procurement. ICLEI offers different tools, methods and instruments to assess various kinds of information regarding adaptation and mitigation and to enable and facilitate assessing GHG emissions at sub-national level.</p>
The Climate Finance for Cities & Buildings - A Handbook for Local Governments (GIZ)	<p>This handbook was prepared by ENERGIES 2050 for UNEP and aims to raise awareness among local stakeholders and policy makers regarding carbon and climate finance mechanisms and their potential and application in the built environment. It also aims to help local authorities to use carbon mechanisms as an opportunity to increase their energy performance, be resource efficient, and be consistent with their climate strategies while creating additional revenue.</p>
The TRANSfer Handbook (GIZ)	<p>The Handbook provides practical guidance on how to develop NAMAs in the transport sector. It comprises a generic section with general information on transport NAMAs concerning policy identification, MRV and financing and a further chapter on co-benefits. The purpose of the handbook is to provide practitioners working in the transport sector around the world with practical step-by-step guidance on how to design and implement climate change mitigation actions in this complex sector.</p> <p>Therefore, this handbook was designed to become a 'living document' aiming to always reflect the latest state-of-play. The final handbook will also comprise a number of case studies based on practical experiences from partner countries: Mexico, Indonesia, Colombia, Chile, South Africa and Costa Rica</p>
Climate Proofing for Development (GIZ)	<p>Climate Proofing for Development was designed by GIZ with the purpose of integrating climate considerations into planning at national, sectoral, project and local levels. It facilitates climate change oriented analyses of policies, projects and programmes in partner countries, with the aim of highlighting the risks and opportunities climate change poses. By viewing development through a climate change lens, appropriate steps can be taken to decrease vulnerability, and ensure that projects or programmes progress in a way that pays due consideration to the implications of environmental change. Climate Proofing for Development determines the bio-physical and socioeconomic impacts of climate change in order to plan appropriate adaptation strategies. This process always requires expert support, process facilitation and tailor-made capacity development, which are services offered by GIZ.</p>
WHO guidance to protect health from climate change through health adaptation planning	<p>The World Health Organization (WHO) is contributing its technical and programmatic experience to the UNFCCC process. This guidance document is designed to ensure that the process of iteratively managing the</p>

(WHO)	health risks of climate change is integrated into the overall NAP process, including through assessing risks; identifying, prioritizing, and implementing adaptation options; and monitoring and evaluating the adaptation process. Supported by the LEG, the UNFCCC and other relevant partners (e.g. United Nations Development Programme (UNDP), United Nations Environment programme (UNEP), WHO, development agencies and nongovernmental organizations), countries can use the NAP process to start planning their mid- and long-term priorities to build resilience to climate change across all relevant sectors.
Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation project (C3D+) (UNITAR)	The objective of the <i>Capacity Development for Adaptation to Climate Change and Greenhouse Gas Mitigation</i> 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 proposed 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.
<i>Water resources assessment</i> (GWP)	These tools consider the collection, analysis, and modelling of the information from the physical (specifically hydrological), biological and human medium related to the management of water.
<i>Plans for IWRM</i> (GWP)	Includes tools for the planning process, integrating environmental, social and economic aspects of the management of hydrological resources.
<i>Demand Management</i> (GWP)	These tools consider actions that are oriented to improving the efficiency in use, conservation, recycling and reuse of water.
<i>Social Change Instruments</i> (GWP)	These tools consider the instruments that seek to improve water management through a change in the behaviour of the different parties that are involved in its management.
<i>Conflict Resolution</i> (GWP)	Includes those tools that seek to foresee, prevent, and manage the conflicts, avoiding ending up in an impasse and favouring the construction of win-win solutions.
<i>Regulatory Instruments</i> (GWP)	These tools consider the regulatory standards that require or allow for certain actions, or prescribe a number of results in relation to water management, services associated to water, or usage of the land.
<i>Economic Instruments</i> (GWP)	Economic mechanisms – such as the development of markets, pricing systems, fines and subsidies oriented to obtaining a greater efficiency in water allocation, seizing and conservation of the hydrological resources by the users, or the correct provision of services associated to water – are introduced.
<i>Information Management and Exchange</i> (GWP)	Includes the instruments that seek to place the information in the power of the different stakeholders, specialists and general public, in order to improve the participation and the decision making process.
<i>Assessment Instruments</i> (GWP)	Such as Risk and Vulnerability Management, Environmental and Economic Assessments, which will help to design good plans assuring involvement of all interested parties and a better allocation of resources.

<i>Effective Project Management Arrangements for Agricultural Projects (IAFD)</i>	This review was undertaken to evaluate the effectiveness of PMUs and their alignment with the Paris Declaration principles, as well as to identify lessons or frameworks to guide future project management and implementation arrangements. It investigated five case studies drawn from different regions and types of projects.
<i>Improving nutrition through agriculture (IAFD)</i>	Guidelines for sensitising agricultural projects to nutrition
<i>South-South and triangular cooperation (SSTC). (IAFD)</i>	SSTC is a conduit for transferring knowledge, resources and technology. These are essential elements for the transformation of rural areas, the economic and social revitalization of communities, and the inclusive growth of countries of the South. Expanding the pool of available solutions and building on previous success stories and lessons can accelerate the pace of agricultural and rural development worldwide.
<i>Small farms, big impacts: mainstreaming climate change for resilience and food security (IAFD)</i>	Guidelines for mainstreaming climate change for resilience and food security.
<i>The smallholder advantage: A new way to put climate finance to work (IAFD)</i>	Guidelines for integrating climate finance with agricultural investment programme.

### Annex 18: Roles and responsibilities between UNEP DEPI (IA) and UNEP ROAP (EA)

PROJECT CYCLE PHASE	UNEP DEPI RESPONSIBILITIES (as IA)	UNEP ROAP RESPONSIBILITIES (As EA)
Daily Project execution and implementation oversight, and operational completion	<ul style="list-style-type: none"> <li>• Ensure timely disbursement/sub-allotment to executing agency, based on agreed legal document and in accordance with UNEP and GEF fiduciary standards</li> <li>• Follow-up with Executing agency for progress, equipment, and financial reports</li> <li>• Provide consistent and regular oversight on project execution and conduct project supervisory missions as per Supervision Plans</li> <li>• Technically assess and oversee quality of project outputs, products and deliverables – including formal publications</li> <li>• Provide no-objection to main TORs/MOUs and subcontracts issued by the project, including selection of project manager or equivalent</li> <li>• Attend and facilitate inception workshops, and selected steering committee meetings (the latter when required e.g. if there are problems)</li> <li>• Assess project risks, and monitor and enforce a risk management plan</li> <li>• Review of reporting, checking for consistency between execution activities and expenditures, ensuring that it respects GEF incrementality rules</li> <li>• Clearance of cash requests, and authorization of disbursements once reporting found to be complete</li> <li>• Approve budget revision, certify fund availability and transfer funds</li> <li>• Ensure that GEF and UNEP quality standards are applied consistently to all projects, including branding and safeguards</li> <li>• Certify project operational completion</li> <li>• Manage relations with the GEF</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure technical execution according to execution plan laid out in the project document</li> <li>• Ensure technical quality of products, outputs and deliverables</li> <li>• Ensure compilation and submission of progress, financial and audit reporting to IA</li> <li>• Submission of budget revisions to IA for approval</li> <li>• Addressing and rectifying any issues or inconsistencies raised by the IA</li> <li>• Bringing issues raised by or associated with clients to the IA for resolution</li> <li>• Facilitating Steering Committee meetings and other oversight bodies of the project</li> <li>• Day to day oversight of project execution</li> <li>• Submit all technical reports and completion reports to IA (realized outputs, inventories, verification of co-finance, terminal reporting, etc.)</li> <li>• Develop TORs for national consultants and submit to UNEP DEPI</li> </ul>
Project Monitoring and Evaluation ( TE)	<ul style="list-style-type: none"> <li>• Review and finalize PIR, develop portfolio level consolidated report and submit to GEF</li> <li>• The UNEP Evaluation Office ensures that independent</li> </ul>	<ul style="list-style-type: none"> <li>• Develop yearly project/programme implementation reports (PIR)</li> <li>• Organize MTRs as a management tool and develop</li> </ul>

PROJECT CYCLE PHASE	UNEP DEPI RESPONSIBILITIES (as IA)	UNEP ROAP RESPONSIBILITIES (As EA)
	<p>evaluations (TE) are carried out according to GEF and UNEP requirements (dedicated budget, TOR, mission planning), and review evaluation reports.</p> <ul style="list-style-type: none"> <li>• Work with EA to develop management response to evaluation reports and Steering Committee recommendations.</li> <li>• Manage relations with the GEF Evaluation Office and GEF Secretariat on all M&amp;E products</li> <li>• Ensure OFPs obtain all M&amp;E products and respond to information requests</li> </ul>	<p>management response to MTR</p> <ul style="list-style-type: none"> <li>• Participate in and provide all information requested by MTE and TE</li> <li>• Develop management response to evaluation reports and Steering Committee recommendations</li> </ul>
Project financial closure	<ul style="list-style-type: none"> <li>• Lead project closure process using information provided by EA.</li> <li>• Inform Trustee and GEFSEC of closure</li> <li>• Return any unspent GEF funds to Trustee</li> <li>• Conduct post-facto evaluations or lessons learnt exercises</li> </ul>	<ul style="list-style-type: none"> <li>• Provides to IA information on financial closure.</li> <li>• Contributes to knowledge management exercises in relation to the project</li> </ul>