



United Nations Development Programme
Country: Global
PROGRAMME DOCUMENT¹

Programme Title:

Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

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

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

Secondary Outcomes:

Outcome 4: Faster progress is achieved in reducing gender inequality and promoting women's empowerment.

Outcome 5: Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change

Executing Entity/Implementing Partner: UNDP

Implementing Entity/Responsible Partners: UNDP, FAO

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Total resources required	US\$ 12,391,574
Total allocated resources:	US\$ 12,391,574
• Regular	_____
• Other:	_____
o BMUB	US\$ 12,391,574
o In-kind	_____
o Other	_____
In-kind contributions	_____

¹ For UNDP supported GEF funded projects as this includes GEF-specific requirements

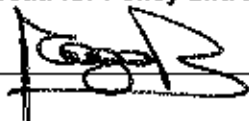
Brief Description

Non-least developed countries and least developed countries are facing disproportionate impacts from climate change. Projected increases in temperatures and the variability in precipitation, weather patterns and the increased frequency of extreme events, are and will be increasingly felt most in countries with strong dependence on the agriculture sectors for economic development and livelihood options. In response to the increased need to consider medium- to long-term planning for climate change adaptation within the framework of national development priorities, the National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework to promote political and financial support at the national level for countries to mainstream climate change into development planning. This project responds to the UNFCCC Draft Conclusions FCCC/SBI/2013/L.10/Add.1 and SBI/2014/L.19, inviting UN organizations, specialized agencies, and bilateral organizations to enhance financial and technical support the NAP process for developing countries. The project is also consistent with the Subsidiary Body for Scientific and Technological Advice (SBSTA) draft conclusions on adaptation issues related to agriculture (SBSTA/2014/L.14) which emphasizes the importance of identifying and assessing agricultural practices and technologies to enhance productivity in a sustainable manner, as well as risks and vulnerability of such systems to climate change scenarios at regional, national and local levels.

The goal of this project is to integrate climate change concerns related to agriculture-based livelihoods within existing national planning and budgeting processes of a select number of countries. Support will be extended to a cohort of five developing countries comprising Kenya, the Philippines, Thailand, Vietnam, and Uruguay and three least developed countries -- 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 programme will enable UNDP to extend technical assistance that is already made available through the NAP-Global Support Programme to more than 25 countries regarding the national coordination of NAPs. Moreover, the ICI funding will allow FAO to bring in its extensive experiences based on work through the Framework Programme for Climate Change Adaptation (FAO-Adapt) to assist countries with their respective agriculture sectors in the NAP processes. Ultimately, the programme will contribute to i) setting the national adaptation agenda based on priorities related to the agricultural sectors in particular, ii) enhancing regional and global dialogue and cooperation on scaling up adaptation actions that have a bearing on food security and livelihoods; iii) integrating concerns and priorities into relevant national and sectoral planning and budgeting processes iv) accessing international climate finance; and v) creating synergies with ongoing projects, including ICI projects on eco-system based adaptation and unlocking innovative sources of climate finance that can support adaptation in the agriculture sectors.

Agreed by **Magdy Martínez-Solimán**, Assistant Administrator and Director
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31/03/2015

Date/Month/Year



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8/ April / 2015

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LIST OF ACRONYMS

AC	Adaptation Committee
AF	Adaptation Fund
ALM	Adaptation Learning Mechanism
APR	Annual Project Review
ASAP	Adaptation for Smallholder Agriculture Programme
BRH	(UNDP) Bangkok Regional Hub
BMUB	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
BTOR	Back to Office Report
CAADP	Comprehensive Africa Agriculture Development Programme
CAF	Cancun Adaptation Fund
CCAF	Climate Change, Agriculture and Food Security (CGIAR programme)
CDKN	Climate and Development Knowledge Network
CGIAR	Consortium of International Agricultural Research Centres
CO ₂	Carbon dioxide
CO	Country Office
COP	Conference of the Parties
CPAP	Country Programme Action Plan
CPEIR	Climate Public Expenditure and Institutional Review
CSA	Climate-smart agriculture
DC	Developed Country
DfID	Department for International Development (UK)
DIM	Direct Implementation Modality
DIPECHO	Disaster Preparedness Programme, European Commission Humanitarian Aid Department (ECHO)
DRM	Disaster Risk Management
EbA	Ecosystem-based Adaptation
ECCA	Capacity Building Programme on the Economics of Climate Change Adaptation
EPIC	Economics and Policy Innovations for Climate-Smart Agriculture (FAO)
EU	European Union
FAO	Food and Agriculture Organization
FAO-ADAPT	Food and Agricultural Organization Framework Programme for Climate Change Adaptation
GCF	Green Climate Fund
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für International Zusammenarbeit
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
IC	International consultant
ICI	International Climate Initiative
IFAD	International Fund for Agricultural Development
IIED	International Institute for Environment and Development
INDC	Intended Nationally-Determined Contribution
INGO	International Non-Governmental Organisation
IPCC	Intergovernmental Panel for Climate Change
IUCN	International Union for Conservation of Nature
KM	Knowledge Management
LDC	Least Developed Country
LDGF	Least Developed Country Fund
LECB	Low Emission Capacity Building
LECRDS	Low-emission, climate-resilient development strategies
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
MICCA	Mitigation of Climate Change in Agriculture

MoSTE	Ministry of Science, Technology and Environment (Nepal)
MDG	Millennium Development Goal
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategic Action Plan
NC	National Communication
NEPAD	The New Partnership for Africa's Development
NGO	Non-governmental Organisation
NIM	National Implementation Modality
ONEP	Office of Natural Resources and Environmental Protection (Thailand)
PB	Project Board
PIM	Project Implementation Modality
PIR	Project Implementation Report
PPCR	Pilot Program for Climate Resilience
QPR	Quarterly Progress Reports
REDD	Reducing Emissions from Deforestation and Forest Degradation
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean
SAARC	South Asian Association for Regional Cooperation
SBAA	Standard Basic Assistance Agreement
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SIDS	Small Island Developing State
SPA	Strategic Priority for Adaptation
TNA	Technology Needs Assessment
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNISDR	United Nations International Strategy for Disaster Reduction
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organisation

I. SITUATION ANALYSIS

National and sectoral planning processes are crucial to identify national development priorities and ensure budgeting and implementation of activities. Given that likely adverse effects of climate change on development goals, especially those concerning poverty reduction, exclusion and inequality, countries have begun to integrate requirements for risk management into existing planning and budgeting processes in the hope of advancing integrated solutions. At present, however, these processes in many, if not all, developing countries have not fully integrated climate change risks and opportunities in a comprehensive and sustained manner, and in particular at sector levels. Rather, efforts have been ad-hoc and one-off, rather than systematic and accommodating the need to iteratively revisit and update development plans and budgets as information, capacities and understanding of climate change impacts and adaptation improve and the development baseline changes over time.

The National Adaptation Plan (NAP) process was established under the Cancun Adaptation Framework to promote political and financial support at the national level for countries to mainstream climate change into development planning. At the 17th Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant organizations were requested to submit information on their support of the NAP process and to consider the establishment of NAP support programmes according to their respective mandates.

1.1. Climate change- Induced problem

Climate change (and climate variability) is having detrimental effects on human well-being across the developing world where vulnerability is already perpetuated by poverty, population growth and/or migration to hazard-prone areas, environmental degradation, and unsustainable economic development (non-resilient). Increasing temperatures, changing rainfall patterns, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health². Moreover, these effects are predicted to become increasingly severe.

The added impacts of climate change, including from extreme events and the economic losses of creeping changes, put a strain on limited national resources forcing shifts in national development priorities. Climate change impacts are projected to slow down—or even reverse—economic growth, making poverty reduction more difficult and prolonging existing (and creating new) poverty traps³. The capacity needs of countries to manage the impacts of climate change will continue to be overwhelming in order to prevent the reversal of years of progress and achievements made on Millennium Development Goals (MDG)⁴.

Climate change impacts on agriculture (including fisheries, aquaculture and forestry) and rural development are especially damaging for developing and least developed countries, given that agriculture is major economic driver in these countries. Yet, there are significant knowledge gaps in countries on the implications of climate change on agriculture. The economic impacts of climate change, the costs and benefits of different adaptation options, and evidence-based results of what works and what does not, including underlying drivers of adaptation, are often not yet sufficiently understood. The availability of technical information on current and emerging risks, vulnerabilities and adaptation-specific requirements for the agriculture sectors, in the context of ecosystems and landscapes,

² IPCC. 2014. Summary for policymakers. In: Field, C.B., V.R. Barros, D.J. Dokken, K.J. Mach, M.D. Mastrandrea, T.E. Bilir, M. Chatterjee, K.L. Ebi, Y.O. Estrada, R.C. Genova, B. Girma, E.S. Kissel, A.N. Levy, S. MacCracken, P.R. Mastrandrea, and L.L. White (eds.). 2014. *Climate Change 2014: Impacts, Adaptation, and Vulnerability. Part A: Global and Sectoral Aspects*. Contribution of Working Group I to the Fifth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA, pp. 1-32.

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

⁴ United Nations. 2007. *The Millennium Development Goals Report*.

remain insufficient in developing and least developed countries. Although most countries have designated authorities for addressing climate change concerns, substantial knowledge gaps in each country remain on the implications of climate change for country-specific agriculture success in the long-term; this includes a lack of climate relevant data, the economic impacts of climate change, and the existence of evidence-based results of effective versus non-effective options.

1.2. Long-term preferred solution

The overall objective of climate change adaptation is to reduce vulnerability to the impacts of climate change by minimizing or avoiding risks, as well as enhancing the capacity to adapt to climate change. Per the IPCC Fifth Assessment Report, adaptation choices in the near term will affect the risks of climate change throughout the 21st century⁵. The report suggests that adaptation planning and implementation are dynamic iterative learning processes, recognizing the complementary role of adaptation strategies, plans and actions at different levels (national, subnational, and local). This is consistent with the decisions made by Parties to the UNFCCC which state that in the long-term countries will need to adopt a continuous, progressive and iterative process that advance development objectives at the national, sectoral and local levels.

A National Adaptation Plan is defined as a continuous, progressive and iterative process to enable Parties identify, implement and communicate their vulnerabilities and adaptation actions at the national, sectoral and local levels as well as within the international, multi-lateral process of the Convention. In this context, the National Adaptation Plan process (NAPs, as it is commonly referred to within the UNFCCC) provides an opportunity to fully integrate climate change risk management into medium and long-term development planning, and by extension, budgeting. NAPs provide an opportunity to strengthen adaptive capacity, including for development planning.

At COP-17, Parties adopted initial guidelines and principles for the NAP process and agreed that enhanced planning on adaptation should:

- Be a continuous, progressive and iterative process, the implementation of which should be based on nationally identified priorities, including those reflected in the relevant national documents, plans and strategies, and coordinated with national sustainable development objectives, plans, policies and programmes;
- Follow a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems;
- Be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, and by gender-sensitive approaches, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;
- Not to be prescriptive, nor result in the duplication of efforts undertaken in-country, but rather facilitate country-owned, country-driven action.

Advancing the NAP process is therefore the preferred long-term solution in developing countries, as it supports the comprehensive integration of medium- to long-term adaptation needs into relevant policy and development planning processes. In order to do so, it is essential to begin addressing sectoral needs with respect to adaptation. Therefore the integration of agricultural-based livelihood adaptation concerns into national planning instruments as a starting point will be ideal given that agriculture is a key sector in many developing countries.

While advancing NAP processes in countries, Parliaments should be involved. Parliaments are uniquely positioned to ensure that policy-making on climate change is streamlined across relevant ministries and that effective climate change action is not compromised by a lack of coordination. At the same time, inclusivity at the sub-national and local levels are also important for the sustainability of results.

1.3 Barriers to achieving the long-term solution

⁵ IPCC AR5, Climate Change 2014: Impacts, Adaptation and Vulnerability.

To support the integration of agriculture-based livelihood adaptation concerns into NAP processes in the participating developing countries and LDCs, a number of barriers need to be addressed, including:

Institutional Coordination Mechanisms

Integrating agriculture-based livelihood adaptation concerns into medium- to long-term development planning requires an effective institutional framework that promotes inter-sectoral and national/sub-national coordination. The effectiveness of current coordination mechanisms differs across developing countries. These mechanisms are often inadequate for the multi-sectoral and multi-level planning that is required for medium- to long-term adaptation planning. Currently, the mandate for addressing climate change often lies within the ministries of environment/natural resources, while ministries of agriculture and disaster management authorities often remain at the margins of the processes of government-level adaptation planning and engagement with UNFCCC processes. A common obstacle for integrated frameworks is the sharing of data and other resources amongst ministries and agencies. At the same time, effective integration of climate change adaptation planning requires a coordinated, cross-sector approach among multiple ministries. Integrating climate change adaptation concerns of the agriculture sector into national development plans and vice versa involves other sectors such as disaster management, finance, planning, infrastructure, water resources and health at both national and sub-national levels.

Technical Capacity for Adaptation Planning in the Agricultural Sectors

Developing countries and LDCs have varying levels of technical capacity for national adaptation planning, but all target countries have limited capacity at present to integrate adaptation concerns with respect to agricultural-sector based livelihoods into medium- to long-term planning. For many, this limited capacity specific to including adaptation priorities of the agriculture sector within policy frameworks, is evident by the lack of necessary technical capacity to: a) collect and assess medium-to-long-term climate modelling data; b) appropriately apply policy guidance on climate change adaptation planning; and, c) perform the necessary assessments and analyses to inform medium- to long-term adaptation planning and budgeting adaptation specific requirements. Technical capacity building, such as in skills to utilize available climate models and data to conduct relevant vulnerability analysis or undertake a cost-benefit analysis to identify efficient adaptation options from a suite of possibilities is needed. Such skills are required to strengthen integration of medium- to long-term considerations for climate change adaptation into development planning as well inform the design of 'bankable' adaptation interventions for implementation at the national and sub-national level within the agricultural sector, as well as across sectors.

While environment ministries have typically established foundations for receiving technical support for climate change mitigation and adaptation planning, there has been little engagement of agriculture ministries with training resources available for climate change adaptation, including knowledge on accessing climate finance. This is because of limited efforts to date by coordinated programmes that have addressed the integration of agricultural-sector needs for adaptation planning within a national adaptation planning framework.

Access to Finance

The funding required for adaptation is considerable. Over the period 2010 to 2050, necessary adaptation investments could average \$30 to \$100 billion a year⁶. These figures can be compared to the roughly \$100 billion per year made available for broader development assistance⁷. This funding gap is especially wide in Non-LDCs which have limited access to financial support for adaptation initiatives from existing international vertical funds for climate change.

Innovation is necessary to diversify sources of funding for adaptation and create new revenue streams. In this context, countries are now turning to examine what it would take to attract the larger volumes of international private sources of finance using opportunities at hand to access public funds such as from the Least Developed Country Fund, Special Climate Change Fund, Adaptation Fund, and the Green Climate Fund (GCF).

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

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

Understanding and overcoming barriers to attracting private capital flows to support adaptation is therefore of paramount interest to many developing countries.

Access to Information and Knowledge

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

Efforts to share knowledge, good practice and lessons learned about agricultural-sector adaptation options through partnerships, platforms and outreach programmes are also limited among developing countries. Such an exchange of knowledge, best practices and lessons learned – particularly South-South and North-South exchanges – could greatly enhance country level efforts to advance their respective NAP process. Where platforms for knowledge exchange do exist, these often include many countries that have a wide range of adaptation priorities. In trying to accommodate information from as many countries as possible, there is large amount of knowledge and information available on these platforms⁶. However, there is insufficient information on the sector-specific information for adaptation practitioners.

II. STRATEGY

In an effort to overcome the above barriers, the International Climate Initiative (ICI) project aims 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 project will provide support to eight countries – five developing countries (Kenya, Philippines, Thailand, Vietnam, and Uruguay) and three LDCs (Nepal, Uganda and Zambia)⁹ 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 project seeks to achieve this goal through four major outcomes:

- **Strengthening technical capacities and institutions on NAPs:** Policy and technical staff in key ministries including Agriculture, Environment and Planning, Finance, meteorological agencies, disaster management authorities, as well as key institutions in local government will be strengthened to mainstream climate change risks and opportunities into the agriculture sector. Existing methods and tools will be employed for officers to i) understand the implications of climate change on the agriculture sectors and others; ii) build capacities on how to compile and use data and tools for decision making processes at the sector level; iii) to incorporate key priorities for climate change risk management within the existing planning and budgeting process at the national and sub-national level.
- **Developing Integrated roadmaps for NAPs:** ICI resources will be used to strengthen and institutionalize processes for the formulation of NAPs that address priorities of the agriculture sector. Each country will

⁶ To address these concerns, the South-South Cooperation (SSC) team within UNDP is currently developing a supply-demand matching platform for SSC/triangular cooperation. This platform could be used to share knowledge, experiences and identify potential partnerships. The platform is expected to be ready by the end of December 2015.

⁹ The selection of countries was based on a number of factors: one, bilateral discussions between Government of Germany and each country; that determined the countries BMUB was willing to support; two, countries that had requested support to address mainstreaming of climate change into the agriculture sector (with FAO support); three, countries that had requested NAP and other related support from UNDP based on the activities of the UNDP led Global Support Programme for NAPs.

develop, in the context of their NAP process, a roadmap for incorporating economically viable adaptation options for the agriculture sector over the medium and long-term.

- **Improving evidence-based results for NAPs:** ICI resources will develop and introduce an impact monitoring framework for the agriculture sector that will generate evidence based results of adaptation options based on quasi-experimental design principles used in impact evaluation frameworks in many disciplines (but catered to adaptation). The results from the application of the framework will serve as an input into the policy dialogue on national adaptation planning.
- **Promote advocacy and knowledge-sharing on NAPs:** ICI resources will enhance the exchange of lessons on integrating climate change risks and adaptation measures into sectoral and national development plans within countries, including their relevance for ecosystem based adaptation, as well as across countries through south-south and triangular cooperation, including within the UNFCCC process.

This project responds to the UNFCCC Draft Conclusions FCCC/SBI/2013/L.10/Add.1 and SBI/2014/L.19, inviting UN organizations, specialized agencies, and bilateral organizations to enhance financial and technical support to the NAP process for developing countries. The project is also aligned with the Subsidiary Body for Scientific and Technological Advice (SBSTA) draft conclusions on adaptation issues related to agriculture (SBSTA/2014/L.14) which emphasizes the importance of identifying and assessing agricultural practices and technologies to enhance productivity in a sustainable manner, as well as risks and vulnerability of such systems to climate change scenarios at regional, national and local levels.

The project strategy adheres to NAP guidance provided by the UNFCCC, and reflects the needs expressed by countries. At COP-17 (Durban), Parties established the NAP's objectives, namely: a) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and b) to facilitate the integration of climate change adaptation in a coherent manner into new and existing policies, programmes and activities. The NAP objectives pertain particularly to development planning processes and strategies within all relevant sectors and at different levels, as appropriate¹⁰. In Durban, the modalities of support and financial arrangements were also decided upon. These typology of support include:

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

2.1. Project rationale and policy conformity

The project is aligned with UNDP's Strategic Plan Outcomes and Outputs, as follows:

- *Outcome 1:* Growth and Development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.
- *Output 1.4:* Scaled-up action on climate change adaptation and mitigation across sectors which is funded and implemented
- *Outcome 5:* Countries are able to reduce the likelihood of conflict and lower risk of natural disasters, including from climate change

¹⁰ FCCC/CP/20110/9/Add.1

- Output 5.2: Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels.
- Output 5.3: Gender responsive disaster and climate risk management is integrated in the development planning and budgetary frameworks of key sectors (e.g., water, agriculture, health, and education).

2.1.1. *Alignment with Global Frameworks*

The ICI project will support the right target countries to integrate adaptation concerns of their agricultural sectors into medium- to long-term adaptation planning. In doing so, the project will be responding to a number of SBSTA/SBI decisions as outlined above.

Under the **UNFCCC**, all parties to the convention produce periodic National Communications (NCs) which report national greenhouse gas inventories and describe national activities to implement the Convention. As another example, the Technology Needs Assessments (TNAs) are country-driven processes to identify national technology needs for appropriate adaptation and mitigation activities. All 48 actual LDCs have completed National Adaptation Programmes of Action (NAPA), identifying each country's urgent and immediate needs to adapt to climate change.

Through the preparation of NCs, TNAs and NAPAs, countries have identified adaptation priorities as well as developed preliminary adaptation plans and programmes. These processes also established multi-stakeholder platforms for national dialogue on climate change adaptation – often for the first time in the country. Coordination of cross-sectoral efforts for climate change adaptation were not systematically considered. The ICI-financed programme will contribute towards supporting countries to advance medium- to long-term planning for adaptation to climate change for the agricultural sector. This will build on and enhance adaptation options identified in NCs. Additionally, the ICI-financed project will build on the multi-stakeholder platforms that were established during these exercises to enhance coordination of climate change efforts:

The Hyogo Framework for Action (HFA) is a 10-year UN-wide initiative launched in 2005 to scale up efforts to prevent, mitigate, and prepare for disasters in order to save lives, protect livelihoods, and sustain development. A new post-2015 framework for disaster risk reduction to be finalized in Sendai (Japan) in March 2015 at the UN World Conference on Disaster Risk Reduction aims to substantially reduce disaster losses in lives and in the social, economic, and environmental assets of communities and countries, through the prevention of risk creation, reduction of disaster risk and strengthening of resilience of communities and countries. Disaster risk reduction and climate change adaptation both share an overarching aim to reduce vulnerability and build resilience as a means to achieve long-term sustainable human development, and this programme will promote coherence and collaboration to build on existing and complementary efforts. UNDP has initiated a proposed flagship programme 5-10-50 to be aligned with the HFA successor agreement. Operating on the premise that disaster risk and development should be treated as inseparable, UNDP will work with 50 countries over 10 years to implement 5 components aimed at building capacities of national and sub-national actors to reduce and manage climate and disaster risks. The ICI programme's capacity building components will be similarly risk-informed and linked to countries' existing efforts in managing disaster and climate risks, especially in risk assessment, early warning and preparedness, and local-level risk management. This is especially pertinent as developing countries reliant on agriculture for their livelihoods are highly vulnerable to risks related to both disasters and climate change. The evidence-based approaches to testing adaptation options for agriculture sector-based livelihoods will also achieve the aims of 5-10-50 in building evidence for integrated and effective risk-informed development.

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

2.1.2. *Alignment with ICI priority areas*

The project is closely aligned with the ICI priorities of 1) promoting a low-carbon economy; 2) promotion of measures to adapt to the impacts of climate change; 3) preservation and sustainable use of natural carbon sinks/REDD+; and 4) conserving biological diversity. Consultations with project managers of other ICI-financed projects have been and will continue to be conducted periodically to ensure sharing of knowledge and experiences, especially for target countries in common.

2.2. Country ownership: country eligibility and country drivenness

A country-driven approach is necessary for target countries to develop the necessary capacity to advance medium- and long-term adaptation planning. Support from ICI will therefore be guided by national priorities and circumstances in each of the eight countries with respect to a) coordination between ministries of Agriculture and ministries of Finance, Planning, Disaster Management, Environment and other relevant government institutions towards national adaptation planning; b) increasing existing technical capacities at the national, sub-national and sectoral level; and c) laying the groundwork for countries to harness future support from national investments, private sector funds, bilateral and multilateral funds, including GEF funds and the upcoming Green Climate Fund towards the widening and deepening of national and sub-national adaptation planning and budgeting processes.

The project has been designed in consultation with BMUB, FAO, UNDP and FAO Country and Regional Offices. The project responds directly to the country requests for advancing their respective NAP processes and in the case of the LDCs targeted by this project, building on prior work done on NAPAs. Detailed consultations to determine the specific entry points for ICI support will commence during the initial phase of project implementation, through in-country consultations, to be carried out in all 8 countries in February 2015. These in-country consultations will include a stakeholder baseline survey. Results from these consultations will serve to tailor activities according to the specific needs of countries. As the project is explicitly geared to mainstream climate change into planning and budgeting cycles, and especially in the agriculture sector, the project's results have a very strong likelihood of adoption and impact at the national and international levels after the end of the ICI funding period.

All of the selected countries have the potential to create synergies with ongoing adaptation-relevant programmes, including on ecosystem-based adaptation (UNDP-GEF, FAO, ICI, IIED, GiZ) to mainstream adaptation into planning and to capitalize on the increasing awareness of the importance of adaptation to climate risks.

The project is aligned with the following national priorities for the eight target countries:

Kenya: This project directly relates to the country's first National Adaptation Planning meeting for the Agricultural Sector in Sept 2013, which discussed food production challenges and opportunities presented by climate change. This project adds value to the Knowledge and Capacity-building Working Group, and help Kenya move forward in operationalizing the NCCRS, which aims to integrate climate change strategies into its vision of transforming into an emerging economy.

Uganda: Uganda's NAPA notes that the country's livelihoods and food security are particularly vulnerable to the effects of climate change, owing to the high proportion of the country's population that depends on rain-fed agriculture for their livelihoods. Among the key sectors where adaptation activities will be most important are farm forestry, water resources, health, weather and climate information, policy and legislation, and infrastructure. The ICI project also aligns with the priorities of the Climate Change Department, which include building the technical capacity of the Department, the development of a climate change policy and the development of mainstreaming guidelines for harmonizing national action on climate change adaptation and mitigation¹¹.

Zambia: Zambia's NAPA highlights that communities are vulnerable to drought, flooding, extreme temperatures and prolonged dry spells. Rural livelihoods are threatened by resulting crop failures and degraded food and water security systems. In the last two decades, yields for crops such as maize have been severely affected by extreme drought, flooding and rainfall deficits. This proposed project builds on the findings of Zambia's NAPA as well as

¹¹ Uganda Climate Change Department. *Climate Change Unit*. <http://www.ccu.go.ug/>

the existing LDCF project and FAO's EPIC programme (see below) to bring these agricultural sector considerations into medium and long-term planning.

Nepal: Nepal's NAPA, concluded in 2010, reflects the importance of intensifying the conservation of drought-resistant crop varieties by adopting water-conserving cropping practices and by promoting crop diversification. Other pathways to decreasing vulnerability include the development of improved climate scenarios, development of more suitable crop models, and search for alternative analytical approaches. Additionally, in 2013, the Nepal Climate Change Support Programme (NCCSP), funded by DFID and EU, was started to support the Ministry of Science Technology and Environment (MoSTE) to strengthen the national and local capacity to develop and implement climate change evidence-based adaptation measures.

Philippines: One of the objectives of the National Climate Change Strategy (2010-2020) of the Philippines is to protect and enhance ecosystems and related services to secure food, water resources and livelihood opportunities. The project will build on its strategic priorities, including increasing the resilience of communities engaged in agriculture by developing climate-sensitive technologies, climate-proofing of agricultural infrastructure and climate-responsive food production systems.

Thailand: This project directly contributes to Strategy 3 of the National Strategy on Climate Change, which aims to strengthen the capacity of human resources and institutions to manage risks from the effects of climate change and its cross-cutting issues. A scoping study conducted by the UNDP project 'Strengthening Thailand's Capacity to link Climate Policy and Public Finance' (2013-2015) found that while the Ministry of Agriculture and Cooperatives' policy framework related to climate change and green growth was in place, climate change mainstreaming in the budget cycle remained a challenge.

Vietnam: The ICI project strongly resonates with Vietnam's National Climate Change Strategy issued in 2011. It meets the country's vision of simultaneously adapting to climate change and reducing greenhouse gas emission, focusing on adaptation in the early stage. The project contributes to the achievement of the Strategy's missions, particularly the following: Mission 1: Proactively coping with natural disasters and monitoring climate; Mission 2: Guaranteeing food security and water resource. 6. Strengthening the key role of the State in responding to climate change; Mission 6: Strengthening the key role of the State in responding to climate change; and Mission 7: Building communities which can effectively cope with climate change ('To develop and diversify means of subsistence in regions and localities in order to support the adaptation to climate change in line with different levels of vulnerability')¹².

Uruguay: The National Plan on Climate Change is recognized by the Government of Uruguay as the tool to integrate climate change in the country's long-term development strategy. It contains the national strategic lines of action on climate change, and the measures for mitigation, adaptation and cross-cutting issues. Although national resources have been committed to its implementation, these are not sufficient, and external financial assistance is needed.

2.3. Design principles and strategic considerations

The ICI project will result in benefits at the national, regional, and global levels through assisting target countries to advance medium- to long-term planning for climate change, starting with the agricultural sector. The agriculture sector, as one of key contributing sectors to the GDP and rural livelihoods in all the targeted countries, is most sensitive to climate change. Therefore, the priorities of adaptation as identified in the National Adaptation Programmes of Action (NAPAs) and climate change strategies of each of the targeted least developed and developing countries in this project highlights the agricultural sectors as a critical starting point for a full integration of adaptation concerns within national climate and development plans.

¹² Socialist Republic of Viet Nam Government Portal.

2.3.1. Links to ongoing national projects/initiatives

Further, the target countries have the potential to create synergies with ongoing national-level adaptation relevant projects, to mainstream adaptation into planning and to capitalize on the increasing awareness of the importance of adaptation to climate risks. Initial in-country discussions will centre on relevant existing UNDP and FAO (including GEF) projects being undertaken in target countries. In each of the targeted countries, UNDP has been supporting adaptation projects with financing from LDCF, SCCF, and other funds, which forms an important foundation to build on. These ongoing projects which amount to more than US\$60 million of grant financing will be leveraged in order to ensure maximum synergies and connections when pursuing the objectives of this project. By aligning specific country activities with these projects' outcomes, the ICI project can better create synergies to move the NAP process forward. A number of these projects for each target country are listed below:

Kenya:

- Existing **FAO projects (MICCA)** related to resilience and agriculture include **'Improved food security and resilience for vulnerable communities in Kenya'** (ending 2016); **a joint initiative between the government and FAO on Disaster Risk Reduction (DRR) on resilience building in the arid and semi-arid lands (ASALs) of Kenya** (ending 2015); **'Addressing Gender Inequity in Disaster Risk Reduction and Resilience Building in the ASALs of Kenya'** (ending 2014). Adaptation options in these existing projects, for example rainwater harvesting and rehabilitation of community-based small-scale irrigation in the ASALs joint project, can be tested as part of an experimental framework for the ICI-funded project.
- An existing **SCCF (UNDP-GEF) project 'Adapting to climate change in arid and semi-arid lands'** targets the agricultural sector. Approved in 2005, it can be scaled up for the proposed project. Some potential areas that can be built on include capacity-building of extension workers and the generation of workable solutions through the support of community adaptation action plans. The project's capacity perception index for adaptation planning and implementation for district and local level stakeholders would be useful in establishing the baselines for the ICI-funded project. The project's involvement of community group representatives and the district technical teams in the selection of resilient initiatives helped to establish rapport with the ministries in Northern Kenya, and will benefit the proposed project's knowledge-base of effective evidence-based adaptation options.
- As part of the **UNDP Integrated Climate Risk Management Programme (ICRMP)**, Kenya is aiming to strengthen the capacity of the Government to address changing patterns of disaster and climate risk, improve climate analysis and application, and mitigate climate-induced risks and impacts on development processes and community livelihoods. Ongoing activities include the harmonisation of DRR and CCA coordination mechanisms at the national level, training events to promote the DRR/CCA framework, and community-level interventions to develop risk reduction and adaptive capacities. The project has convergences with NAP work in terms of the emphasis on capacity building aimed at addressing climate risk, and formulating national-level systems for harmonising disaster risk and climate-induced impacts. The evidence base built up at the community level will also feed in to sector-specific (eg. Agriculture) and national adaptation planning processes.
- Kenya is one of the target countries in the **ICI-funded IIED project 'Ecosystem-based Approaches to Adaptation: Strengthening the Evidence and Informing Policy,'** focusing on assessing EbA effectiveness and the development of a research methodology. The project will generate useful assessment and monitoring tools that could feed into Outcome 3 of the proposed project. Discussions with IIED project managers will be held during the inception phase in order to avoid replication and build synergies between the two projects.
- The proposed project also finds synergies with an existing **CGIAR project assisting in adaptation in the agricultural sector** through a study on the impacts of shifting weather patterns on farming and food security in Kenya between now and 2050.
- **UNICEF's 'United for Climate' youth ambassadors' programme** in Zambia (see below) could be replicated in Kenya and help contribute to Outcomes 2 and 4 as a forum for building awareness on climate change adaptation in agriculture.

Uganda:

- Relevant **FAO projects** including '**Agricultural Adaptation to Climate Change in the Central Cattle Corridor**' and '**Strengthening Resilience and Adaptive Capacity of Agro-Pastoral Communities and the Local Government to Reduce Impacts of Climate Risk on Livelihoods in Karamoja**' could form the foundation for a stock-taking on capacities within the Ministry of Agriculture to address agriculture-related adaptation concerns.
- This project will be able to draw on an existing **UNDP LDCF project 'Strengthening climate information and early warning systems in Uganda to support climate resilient development'** (initiated in 2013) that aims to enhance capacity of national hydro-meteorological and environmental institutions to monitor extreme weather and climate change. This project will not only strengthen monitoring systems for agricultural-sector adaptation, but enhance the proposed project's outcome of increasing the knowledge-base for selecting adaptation options.
- Uganda is one of the target countries in the **ICI-funded IED project 'Ecosystem-based Approaches to Adaptation: Strengthening the Evidence and Informing Policy,'** focusing on assessing EbA effectiveness and the development of a research methodology. The project will generate useful assessment and monitoring tools that could feed into Outcome 3 of the ICI project. Discussions with IED project managers will be held during the inception phase in order to avoid replication and build synergies between the two projects.
- The proposed project will also work closely with the **UNDP- Integrated Climate Risk Management Programme**, which is supporting Uganda to formulate a framework to strengthen and implement a framework for the integration of DRR and CCA. Activities in common include the strengthening of the evidence base for climate risk management at the national, subnational and community levels, as well as the strengthening of national and sector-specific frameworks for the integration of DRR and CCA.
- Uganda is part of the (UNDP) **Mainstreaming Adaptation and Disaster Reduction into Development (MADRID) Programme**, which was initiated to increase social demand and political commitment for integrating disaster risk reduction and climate change adaptation into overall economic and social planning processes, and promote the establishment of sustained human resources capacity development in the field of integrated development planning.
- Another project, '**Economic assessment of climate change in Uganda**' commissioned by Uganda's Climate Change Unit and funded by CDKN will make regional-scale historical and future climate change projections of annual, seasonal and monthly rainfall and near-surface temperatures under two scenarios from the IPCC's Fifth Assessment Report. This will count towards the stocktaking of policies and projects relevant to agriculture.
- **Other possible synergies include the UNICEF-supported 'Unite for Climate' youth ambassadors' programme** in Zambia which if extended to Uganda, will help build sustainability into Outcome 2 activities (see below)

Zambia:

- The proposed project will build on the **FAO-led Economics and Policy Innovations for Climate-Smart Agriculture (EPIC) Programme** findings. It will also ensure that its activities are integrated with the Zambia quick-start initiative of the '**UN Collaborative Programme on reducing emissions from deforestation and forest degradation (UN REDD) in developing countries**'.
- The project builds on the integration of climate change into agricultural management at the local, sub-national and national levels achieved in an **UNDP LDCF project begun in 2008 'Adaptation to the effects of drought and climate change in agro-ecological zone 1 and 2 in Zambia'**. Demonstration sites testing these measures have successfully increased income and maize productivity, and led to 90% of target farmers adopting at least one major adaptation measure. The project's experiments in conservation farming and crop diversification could form the foundation for Outcome 3 as well as form an entry point to a stock-taking of capacity and planning needs for the subregional and national levels (Outcome 2).

- The 5-year **UNICEF-supported 'Unite for Climate' youth ambassadors' programme** equips potential youth leaders in the country with advocacy skills for climate change awareness, and is a potential resource for building sustainability into the activities of Outcome 2.

Nepal:

- A complementary project that supports both Outcomes 3 (experimental frameworks for adaptation is the **FAO project 'Developing climate-smart food and agricultural systems in SAARC'**, which identifies the best-practice examples of climate-smart food and agricultural systems and options for scaling up and replication amongst South Asian Association for Regional Cooperation (SAARC) member states. An entry-point to Outcome 2 (formulating roadmaps) could be FAO's 'Land degradation assessment and monitoring for sustainable land management and climate change adaptation in South Asia' project, which will establish a knowledge base on the causes and impacts of land degradation and promote monitoring of impacts on ecosystem services and livelihoods.
- The **UNDP LDCF project 'Community-Based Flood and Glacial Lake Outburst Risk Reduction,'** constitutes an entry-point to determining gaps in capacity within the district government, NGOs, community-based organizations and local communities. It also forms a foundation for an assessment of instruments for adaptation to be scaled up or extended to adaptation needs of the agricultural sector, such as community-based early warning systems and flood preparedness training.
- As one of the **UNDP- Integrated Climate Risk Management Programme** countries, Nepal is aiming to strengthen and expand the evidence base for climate risk management by assessing climate risks to key development sectors. Activities such as the development of an overall climate risk profile for climate-sensitive development sectors such as agriculture and gender could be expanded and built on in the ICI programme.
- The ICI-funded **IIED project 'Ecosystem-based Approaches to Adaptation: Strengthening the Evidence and Informing Policy,'** will have Nepal as one of the target countries. Focusing on assessing EbA effectiveness and the development of a research methodology, the project could generate useful assessment and monitoring tools that could feed into Outcome 3 of the proposed project. Discussions with IIED project managers will be held during the inception phase in order to avoid replication and build synergies between the two projects.

Philippines:

- Potential synergies, especially for Outcome 1, can be built with the DIPECHO funded project **'Enhancing Capacities for Disaster Risk Reduction in Agriculture in Cambodia and the Philippines.'** The project is implemented by FAO and the Department of Agriculture of the Bicol region, and focuses on enhancing livelihoods resilience of small-scale farmers and fisher-folk in disaster-prone areas of the Philippines through the institutionalization of DRR in agriculture. Also FAO has been working in the last 2 years on the assessments of climate change impacts and mapping of vulnerability to food insecurity under climate change to strengthen household food security with livelihoods' adaptation approaches (AMICAF) is a project currently being implemented with the Philippine Department of Agriculture. <http://www.fao.org/climatechange/amicaf/en/>
- A PIF being revised for the proposed **GEF project "Conservation and Sustainable Use of Agricultural Biodiversity to ensure Food Security and Ecosystems Services and Resiliency" in the Philippines"** will be relevant to the proposed project in terms of the common goals of building resilience in food security and maintaining ecosystems services.
- This project has direct synergies with the **UNDP SCCF project (2013) 'Scaling up Risk Transfer Mechanisms for Climate Vulnerable Farming Communities in Southern Philippines'.** The project aims to stimulate private sector engagement in climate risk reduction for farming households, develop and apply innovative financial mechanisms to strengthen climate resilience in the agriculture sector in north Mindanao, and build capacity of farmer organisations and other local stakeholders to analyse climate risk and develop and implement adaptation practices to enhance agricultural productivity and diverse livelihoods.

- Philippines is currently the Chair of the **Climate Vulnerable Forum (CVF)**, an international partnership of 20 countries that are highly vulnerable to climate warming. The Forum is a South-South cooperation platform for participating countries to work together to address climate change.
- The Philippines is a target country of the **ICI-funded GIZ project 'Mainstreaming EbA - Strengthening ecosystem-based adaptation in planning and decision-making processes.'** The transferable concepts, methods and instruments for strengthening EbA in planning and decision-making generated in the project will be relevant to Outcomes 2 and 3.
- The **ICI/GIZ project 'Support to the Climate Change Commission in the implementation of the National Climate Change Strategy and the National Climate Change Action Plan' (2012-2015)** includes development of a financing framework for climate-related activities and promoting climate-friendly planning. The proposed project could build on the achievements of this project by applying lessons learnt to the agricultural sector.

Thailand:

- This project builds directly on an existing **UNDP project 'Strengthening Thailand's Capacity to link Climate Policy and Public Finance (2013-2015)**, a follow-up to a CPEIR exercise which is helping build capacity within the Ministry of Agriculture and Cooperatives to assess the climate relevance of agricultural programmes and respond effectively to climate change by improving the effectiveness of MOAC expenditure to account for the implications of climate change. Five pilot projects relating to five critical agricultural areas (livestock, etc) compared normal versus climate change benefits of agricultural strategies using climate tool analysis, which could be harvested for lessons learnt, refined and extended to other key agricultural sectors with this proposed project. A year since inception, the project has achieved strong buy-in from MoAC senior management, and increased technical officers' understanding of climate change impacts on agriculture. The proposed project would aid in extending climate budgeting from the local to the subnational level.
- In addition, the project could build on the **SCCF project 'Strengthening Vulnerable People's Capacity to Address the Risks and Impacts of Climate Change and Extreme Weather Events'** to scale up relevant community-level capacity and awareness activities. The SCCF project's findings that the sub-district level was a more viable entry point in mainstreaming climate change into the development planning process will add to creating more effective evidence-based strategies for scaling up these activities. Other potential entry points are the 28 climate risk reduction action plans that have been developed and implemented in 3 pilot sites, and work of the project in ensuring that a number of national policies support the integration of community-based adaptation into provincial development planning.
- Thailand is part of the **Mainstreaming Adaptation and Disaster Reduction Into Development (MADRiD) Programme**, which was initiated to increase social demand and political commitment for integrating disaster risk reduction and climate change adaptation into overall economic and social planning processes, and promote the establishment of sustained human resources capacity development in the field of integrated development planning.
- Thailand is one of the target countries of the **ICI/GIZ project 'Mainstreaming EbA - Strengthening ecosystem-based adaptation in planning and decision-making processes.'** The transferable concepts, methods and instruments for strengthening EbA in planning and decision-making generated by the project for the country will be relevant to Outcomes 2 and 3.

Vietnam:

- The **Economics and Policy Innovations for Climate-Smart Agriculture Programme (EPIC) in Vietnam** will contribute to a stock-taking of adaptation opportunities for the agricultural sector, and help identify potential pilot projects.
- The **UNDP SCCF project on 'Climate Resilient Infrastructure Planning and Coastal Development In Vietnam'** has relevance in terms of its focus on enhancing technical capacity to integrate climate scenarios into coastal development planning, and dialogue amongst sectors, policymakers and communities on the

impacts of climate change on critical infrastructure in vulnerable coastal areas. Demonstration activities on the costs and benefits of climate proofing the most vulnerable coastal area infrastructure include the climate proofing of selected irrigation schemes, rural roads, and small-scale water supply, can be scaled up and synergies built with similar activities targeted at adaptation in agriculture in other zones.

- Vietnam is one of the target countries of the ICI/GIZ project '**Mainstreaming EbA - Strengthening ecosystem-based adaptation in planning and decision-making processes.**' The transferable concepts, methods and instruments for strengthening EbA in planning and decision-making generated by the project for the country will be relevant to Outcomes 2 and 3.

Uruguay:

- The FAO project '**Fortalecimiento de capacidades para la recuperación de pasturas degradadas y la reducción de riesgos ambientales y productivos ante el cambio climático en los sistemas de producción ganaderos y agrícola ganaderos**' (Capacity building for the recovery of degraded pastures and reduced environmental and production risks to climate change on livestock systems and agricultural livestock production) has direct relevance to the ICI-funded project because of its focus on building sustainable agriculture in priority areas, especially livestock production.
- A 2008 GEF-Strategic Priority on Adaptation (SPA) project '**Implementation pilot climate change adaptation measure in coastal areas of Uruguay**' does not address agriculture *per se*, but aims to incorporate climate change risks into national level policies and regulatory frameworks governing coastal area management. Pilot demonstration adaptation measures for ecosystems at risk under predicted climate change scenarios implemented at local level can be scaled up, while knowledge management and evaluation systems to facilitate uptake and replication of climate risk management and adaptation experiences for the coastal areas can be shared, replicated or improved upon.

2.3.2 Links to other UNDP initiatives

The implementation of the ICI project will build on a substantial wealth of knowledge, lessons, and experiences that stem from the numerous UNDP-led initiatives aimed at supporting countries to effectively integrating climate change into their planning processes, policies and budgets:

1. The project will be directly aligned with the **Global Support Programmes** for NAPs funded by LDCF and SCCF. Jointly implemented by UNDP and UNEP these projects are actively leading a consortium of UN and other agencies to support the NAP process in developing and least developed countries. Specifically, from the currently active, LDCF-funded *Assisting least developed countries with country-driven processes to advance National Adaptation Plans* project, key insights and lessons were taken into account, such as the following:
 - Each country has its unique interpretation of what and how the NAP process applies in their country context. Many LDCs agree that NAP is both a process and a document.
 - Climate finance for NAP is a priority for most countries, including finance for implementation.
 - Institutional coordination is a challenge for all countries. Exchange of experiences can promote learning on ways to improve coordination systems and approaches.
 - Broadening the NAP process beyond environment ministries to integrate with planning and budgeting processes and national development strategies is a long-term process. It therefore involves a careful nurturing process by a one or two lead Ministries so that other line Ministries can become conversant with the key issues and find ways that work for them to integrate adaptation requirements into their planning processes given the local context
 - Countries are eager to move from planning to implementation.
 - Countries are requesting additional technical support, both in-country and regional level trainings, to advance NAPs.
 - There is high demand for technical support to advance the NAP process.

2. **Climate Change Public Expenditure and Institutional Reviews (CPEIRs)** – part of the collaborative UNEP-UNDP Poverty Environment Initiative – are supporting the integration of climate change into decision-making in fiscal policy and planning. CPEIRs are assessing whether national climate change objectives are delivered through public expenditure, and how institutional arrangements can be adjusted to improve the coherence, delivery and monitoring of climate finance activities. UNDP oversaw the development of five pilot CPEIRs in Bangladesh, Cambodia, Nepal, Samoa and Thailand. These CPEIRs provide a departure point for long-term dialogue on how to coordinate increased financing with national climate change responses to climate change.
3. The ICI project is aligned with the UNDP-implemented project, **Japan-Caribbean Climate Change Partnership** which seeks to strengthen the capacity of countries in the Caribbean region to invest in adaptation and mitigation technologies, as prioritized in their NAMAs and/or NAPs. These technologies will help reduce the dependence of the Caribbean on fossil fuel imports, setting the region on a low emission development path; as well as improving the region's ability to respond to climate risks and opportunities in the long-run, through resilient development approaches that go beyond a disaster response to short-term (extreme) events. Through a regional approach, the project aims to attract and catalyse additional/incremental technology investments, by removing the barriers preventing investment into these applications: financial (upfront cost of adaptation/mitigation technologies), information (limited awareness of their long-term benefits) and capacity (policy/technical, institutional and individual constraints to embrace these technologies).
4. The **Capacity Building Programme on the Economics of Climate Change Adaptation (ECCA)**¹³ is a 3-year project, comprised of a series of technical trainings interspersed with in-country applied work to enable trainees to master key economic concepts and tools for adaptation planning and decision-making. This is a key area of technical assistance required by countries, as per the UNFCCC's guidelines for countries on the National Adaptation Plan process. ECCA is a collaborative effort between UNDP, USAID Adapt Asia-Pacific, the Asian Development Bank (ADB), and the Global Water Partnership (GWP), in association with Yale University. The project was launched in Asia, and following its success, has since been replicated in the Pacific region and in Africa, engaging additional partners - the Pacific Islands Forum Secretariat (PIFS), the Secretariat of the Pacific Regional Environment Programme (SPREP), the Secretariat of the Pacific Community (SPC), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, the University of the South Pacific (USP), and the Centre for Environmental Economics and Policy in Africa (CEEPA).
5. The **Green Climate Fund (GCF) Readiness Programme (UNEP, UNDP and WRI)**, with a total budget of €10million offers needs-oriented support to countries for accessing and using the GCF once it is fully operational. It is implemented by UNDP, UNEP, the World Resources Institute (WRI) and the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMUB). This programme will include: a) specific capacity building programmes in 6 target countries; b) the development of national project pipelines on the basis of existing and potential specific national plans and policies; and c) the development of in-country monitoring tracking systems for climate finance and its effectiveness, together with feeding back shortcomings identified with GCF processes to support the work of the GCF board. The project is currently working with stakeholders in each country through scoping missions to develop a readiness plan which will be based primarily on an assessment of capacities around the pillars of climate finance readiness.
6. The **Low-Emission Capacity Building (LECB) Programme**, is supported by UNDP, the European Union, the Government of Germany, and the Government of Australia, with a total budget of \$40million. The LECB Programme facilitates cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMA), strengthens technical capacity and facilitates public-private partnerships. The LECB Programme is active in 25 countries, 22 of which are non-LDCs: Argentina, Chile, China, Colombia, Costa Rica, Ecuador, Egypt, Ghana, Indonesia, Kenya, Lebanon, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Tanzania, Thailand, Trinidad and Tobago, Viet Nam and Zambia.

¹³ <http://www.undp-alm.org/projects/ecca>

7. UNDP also has an extensive portfolio supporting disaster risk governance globally through past and on-going projects that often include climate change. For example, the **Mainstreaming Adaptation and Disaster Reduction into Development (MADRiD) Programme** was initiated to increase social demand and political commitment for integrating disaster risk reduction and climate change adaptation into overall economic and social planning processes; and promote the establishment of sustained human resources capacity development in the field of integrated development planning.
8. Through the global **Integrated Climate Risk Management Programme (ICRMP)** currently piloting in six countries (Honduras, Armenia, Uganda, Kenya, Nepal, Indonesia), UNDP is: 1) supporting the convergence and mainstreaming of gender-sensitive climate risk management (CRM); 2) strengthening and expanding the evidence-base for CRM at national and sub-national levels; and, 3) developing capacities at the institutional, sectoral and community-levels.
9. (*still under development*) UNDP's new global programme, called '**5-10-50**', aims to support partner governments in climate and disaster risk reduction, and is targeting 50 countries over 10 years, with a focus on five critical areas: risk awareness and early warning; risk-governance and mainstreaming; preparedness; resilient recovery; and local/urban risk reduction.

2.3.3. Links to other initiatives

ICI initiatives:

There will be close consultations with project managers of other ongoing ICI projects. The findings of the ICI-funded, IIED-led project '**Ecosystem-based Approaches to Adaptation: Strengthening the Evidence and Informing Policy**' in terms of assessing EbA effectiveness and the development of a research methodology will generate relevant assessment and monitoring tools for assessing adaptation options. Discussions with project managers especially for overlapping target countries (Nepal, Kenya, Uganda) will be a part of in-country consultations conducted in order to avoid replication and build synergies. Similarly, the concepts, methods and instruments for strengthening EbA in planning and decision-making generated by the GIZ project '**Mainstreaming EbA - Strengthening ecosystem-based adaptation in planning and decision-making processes**' in common target countries (Vietnam, Philippines, Thailand) will be relevant. Also the FAO-UNEP cooperation set-up in the context of the first African Food Security and Adaptation through EbA Conference conducted in 2013 will contribute to the EbA-adaptation nexus.

Other ICI adaptation projects: Potential linkages can be also built with ongoing ICI-funded adaptation projects and programmes. These include ICI projects such as the GCF Readiness Programme (countries in common include Kenya, Nepal, Philippines, Colombia); 'Support for Preparing Intended Nationally-Determined Contribution (INDC)' (countries in common: Philippines, Thailand, Vietnam); 'Building competence in the climate change sector through the placement of integrated experts' (countries in common: Uganda, Vietnam); and the 'Ecosystem-based Adaptation in Marine, Terrestrial and Coastal Regions'.

Other initiatives:

The project will also seek to liaise with the World Bank's global **Pilot Program for Climate Resilience (PPCR)**, which builds on NAPAs by funding technical assistance to support the integration of climate risk and resilience into development planning. Zambia and Nepal are two of nine pilot countries.

In Africa, one of the core linkages to be established is with **NEPAD's (CAADP)** programmes on agriculture and climate change which is expected to reach 25 million farmers by 2025. Also, the African CSA alliance with INGOs targeting 6 million farmers will become increasingly important in the region and will be important for reach out to in order to exchange good practices.

2.3.4 UNDP Comparative Advantage

The project is supported by UNDP's policy framework, as well as technical expertise, at three levels: global, regional, and national. Given the project's focus on climate-resilient planning, the project falls under Outcome 1 of the UNDP Strategic Plan 2014- 2017:

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

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

The ICI project is part of UNDP's well-established climate change adaptation programme overseen by the Climate Change Adaptation Team within UNDP-GEF unit, Bureau for Policy and Programme Support. The team works in the context of UNDP's overarching support to countries on Green, Low Emissions and Climate Resilient Development including comprehensive risk management. The programme has an active portfolio of over 150 projects totalling \$800 Million, funded by the LDCF, the SCCF, the Adaptation Fund, as well as other bilateral donors (Japan, Australia, Germany to name a few).

UNDP and FAO have been working together on supporting countries on adaptation for the last 5 year. In several countries, UNDP and FAO are providing coordinated technical and financial assistance to the Government on adaptation. The joint collaboration with UNDP is favourable to target the Planning and Finance Ministries in developing and least developed countries to build capacity understanding agriculture sector concerns in particular for adaptation costing and implementation, and to ensure allocation of climate finance in the agriculture sector.

2.4. Programme Objective, Outcomes and Outputs/activities

2.4.1. Objective, Outcomes and Outputs/Activities

The overall objective of the project is to **integrate climate change concerns as they affect agricultural sector-based livelihoods into associated national and sectoral planning and budgeting processes**. Support will be extended to a cohort of five developing countries comprising Kenya, the Philippines, Thailand, Vietnam, and Uruguay and three least developed countries -- 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.

Outcome 1: Technical capacity and institution-building on NAPs strengthened

Outcome 1 aims to build the technical and institutional capacity of key Ministries such as Agriculture, Environment and Planning, Finance and disaster management agencies to assess and build on existing and mainstreaming adaptation priorities into the planning and budgeting processes in each institution. This will be done by establishing core curriculum and training programme with a significant climate change adaptation component. Resources will also be used to develop a critical mass of trainers familiar with assessing climate relevant information needs for the NAPs and integration of adaptation into sector planning, in particular for the agriculture sectors.

Activities will be undertaken to assess the core capabilities of agriculture-relevant institutions in identifying and adopting adaptation actions within sectoral planning processes, in conducting training on NAPs and in building linkages between agriculture, water, forestry and fishery sector as well the planning, finance and environment sectors. The specific kinds of programs and pathways for capacity building and training will depend on a skills and capacity assessment that also takes into account existing programs and courses where such curriculum could be more seamlessly introduced. A core activity is to bridge government training centres, existing national training institutions and think-tanks, including Centres of Excellence (as supported e.g. by the World Bank, UNICEF) and potential trainers with already-existing international programs conducting NAPs training. In some countries it may imply providing hardware to be able to run climate modelling scenarios for the agriculture sectors.

Output 1.1: Training of technical staff and public service officers supporting agriculture-based livelihood development in ministries and relevant institutions, including Agriculture, Environment and Planning, Finance, Education, Transport, Housing, Local governments and units responsible for Community Development, Parliamentarians, and national meteorological institutions and disaster management agencies in adaptation sensitive planning and budgeting, including the technical aspects of formulating roadmaps, conducting in-country NAPs training and accessing climate finance possibilities including from the private sector.

1.1.1. Skills and capacity assessment (1 per country) at the individual (gender-disaggregated) and institutional level to identify existing capacities and determine opportunities and gaps in understanding on mainstreaming climate change adaptation, including assessment of the number and types of trainers required for conducting training of technical officers at ministry- and sub-national levels.

1.1.2. Training sessions (1 per country) organized on NAP, climate scenario building and downscaling of climate change projections and building on the work already done by the CCAFs on socioeconomic scenarios for climate change planning (including for the agriculture sector) and decision tools (1 per country) for representatives from ministries and relevant institutions to be able to train other staff on the NAPs LEG Guidelines and the agriculture supplement, integration of adaptation considerations into planning strategies, and economic analysis of adaptation options.

1.1.3. Technical groups (1 per country) formed comprising of NAPs-trained personnel from the Ministries of Agriculture, Finance, Planning, and Environment, and other relevant sectors including Water, Education, Transport, Housing, and Community Development (including women's groups), disaster management agencies and national meteorological institutions in each country to conduct awareness workshops and further training.

1.1.4. Workshops (1 per country) organized on impacts of climate change and adaptation options for the agricultural sector for Ministry of Agriculture and relevant institutions including Planning, Environment, Finance, Water, and Education

Output 1.2 Training of technical staff and public service officers supporting agriculture-based livelihood adaptation in key ministries and relevant institutions in economic valuation, including costing, cost-benefit analysis for climate change adaptation options in the agriculture sectors. Technical and institutional capacity will be developed on:

- a) how to collect data and knowledge for impact and vulnerability assessment and adaptation planning;
- b) methods to understand the medium/longer term vulnerabilities of the agricultural sector;
- c) methods to analyze climate variability and extreme events for the country and downscale of climate change projections and assessment of climate change impact on crop yields at the national scale (with sub-national disaggregation);
- d) climate risk analysis (incorporating economic considerations);
- e) surveys at the household level to assess adaptation options for prioritization, including the identification of differential adaptation options for men and women;
- f) methods to estimate the cost and benefits, and budgeting needs, of adaptation specific investment and climate resilient livelihood options;

1.2.1. Skills and capacity assessment (1 per country) of agriculture, forestry and fisheries ministries to determine the number and skillset of trainers needed to train technical experts in the respective ministries other ministries on the medium/longer term vulnerabilities of the agricultural sector to climate change and prioritization of options.

1.2.2. Training sessions (1 per country) organized on adaptation cost-benefit analysis, budgeting for adaptation options, climate finance options for representatives from ministries and relevant institutions.

1.2.3. Training workshops organized for technical officers involved in agriculture on adaptation options and cost-benefit analysis.

1.2.4 Handbook on climate change adaptation in agriculture and a summary of decision tools published (based on 8 target countries' experiences).

Output 1.3. Developed training materials based on the knowledge gap and needs identified in 1.1 and 1.2 including decision tools for prioritizing investment options and low emissions development pathways.

1.3.1. Outreach meetings (1 per country) facilitated between civil service college, ministries and available international and country-level trainers from UNITAR, UNFCCC, Government of Germany, and other organizations (including GIZ 3-day country training on NAPs) to connect public sector experts from relevant ministries and educators to the technical group and available training programs.

Outcome 2: Integrated roadmaps for NAPs developed

Outcome 2 aims to lay the groundwork for countries to begin integrating climate change adaptation into development policies and strategies at the national and sub-national level, starting with agriculture as the key sector. The planned activities will build on those of the UNDP/UNEP-led NAP-Global Support Program which has established a process to support LDCs and DCs on starting their respective NAP processes. This includes training workshops, in-country consultations, and connecting country adaptation projects to international sources of climate finance. The activities planned with ICI resources will lay the foundation for future priority-setting and engagement between agriculture ministries and their counterparts in Environment, Planning and Finance, as well as meteorological agencies and disaster management authorities in order to ensure that climate-induced risks, vulnerabilities and opportunities are given consideration in national development plans and budgets. This intervention is based on the principle of building on existing tools and strategies and avoiding parallel processes. Activities under Outcome 1 will be built upon to ensure that clear pathways for integrating climate change concerns affecting livelihoods in the agriculture sector are outlined with extensive stakeholder input and consensus. This will inform the roadmaps that will guide each country to take concrete actions to mainstream climate change into their respective planning and budgeting processes underpinning the agriculture sectors.

Output 2.1: Formulate roadmaps for integrating climate into agriculture sectors planning including climate-smart aspects based on existing information, knowledge gaps and institutional strengths/weaknesses. This will require the conduct of in-country cross-sectoral consultations (one per country), facilitator, stocktaking consultant or coordinator.

2.1.1. **Stock-taking** of existing initiatives and policies (including DRR/CRM initiatives) (1 per country) to determine entry points and gaps for integrating climate change adaptation into agriculture-sector planning.

2.1.2. **National NAP orientation sessions (1 per country)** conducted bringing together UNFCCC focal points, parliamentarians, ministries and representatives of different sectors – planning, finance, agriculture, environment, as well as community-level organizations. Workshop will familiarize ministry representatives on NAPs, LEG guidelines, available support, tools, and financing options, and will include presentations by each ministry on sector-specific medium- to long-term needs, priorities and existing initiatives related to mainstreaming adaptation into planning and budgeting, as well as discussion of inter-sectoral convergences and opportunities.

Output 2.2: Update 8 national development plans to take into account cross-sectoral issues that emerge when addressing climate change concerns in the agriculture sectors.

2.2.1. **National consultative dialogues to validate roadmap**, involving ministries of agriculture, planning, finance, the environment, national meteorological agencies and disaster management authorities, as well as parliamentarians, civil society organizations, community-based organizations involved in agricultural-based livelihoods.

Output 2.3: Update, consult with countries and stakeholders, and verify nationally the Agriculture Supplement to the LEG guidelines to ensure agriculture concerns are integrated into the national cross sector NAPs process and to also support climate sensitive investment plans for the agriculture sectors.

2.3.1. Global consultations including online surveys and multistakeholder consultations along the UNFCCC meetings and national consultations to refine and peer-review the Agriculture Supplement to the NAPs- LEG guidelines. This also includes considerations for climate sensitive investment plans for the agriculture sectors.

Outcome 3: Evidence-based results for NAPs improved

The activities under Outcome 3 involve the development of an impact assessment framework and the conducting of sectoral and programme specific cost-benefit analyses of adaptation options in the agriculture sectors. The purpose of Outcome 3 activities is to enable Ministries of Agriculture to systematically learn about the effectiveness of adaptation options that they implement. Effectiveness will be determined through an impact assessment framework that is based on quasi-experimental design principles, strong economic foundations, and the identification of gender-differentiated needs and adaptation options. Activities will draw on good practices including that of ecosystem-based adaptation (EbA) experiences and case studies that are relevant to supporting resilient livelihoods for farmers and smallholders.

Output 3.1: Design and application of quasi-experimental design based impact assessment framework for a portfolio of BMUB/ LDCF/SCCF projects on agriculture based livelihoods projects ongoing in targeted countries

3.1.1. Identification of 1-2 ongoing agriculture-based livelihoods projects per target country (10 to 20 projects) to which experimental design-based monitoring framework for climate change adaptation can be applied

3.1.2. Cost-benefit analysis of identified agriculture livelihoods projects

Output 3.2. Strengthened capacity of agriculture-based impact assessment and monitoring units and central statistical officers on using quasi-experimental design-based, gender-sensitive impact assessment frameworks (including adding adaptation relevant indicators) for monitoring the effectiveness of adaptation.

3.2.1. Training sessions (1 per country per year) conducted for cost-benefit analysis and applying experimental design-based monitoring framework for measuring adaptation impacts

Output 3.3: Generated case studies on evidence based results through initiatives implemented

3.3.1. 8 sets of case studies of adaptation options tested/analyzed, including, where relevant, focus on gender equality and women's empowerment in agriculture sector

3.3.2. Report/presentation on results of analyses applied to existing agricultural livelihoods projects

Outcome 4: Advocacy and knowledge-sharing on NAPs promoted

This outcome contributes to the consolidation of a knowledge-base on National Adaptation Planning by promoting the sharing of lessons learnt and best practices from activities under Outcome 1 through 3. This activity area supports the creation of knowledge products and outreach tools to disseminate lessons learnt and to facilitate sharing between target countries. Annual global meetings will provide a platform for the sharing of target countries' experiences which will contribute to the iterative refinement of in-country processes. Pilot projects testing adaptation options will constitute a knowledge-base of how to assess these options, which can be shared widely to other countries and feedback to the UNFCCC process in support of the LEG. These projects will also benefit from methods and tools for EbA defined by ongoing ICI funded projects implemented by IIED and GIZ (see below for synergies).

Output 4.1: Convened exchanges on science and technology and economics of adaptation to support the integration of adaptation options into national investment plans managed by Finance/Planning Ministries, and evidence-based monitoring frameworks for climate resilient development in key sectors and issues. This includes

exchanges between countries including North-South/South-South exchanges, inter-agency coordination on best practices/lessons learned.

4.1.1. **Inter-active good practice compilation** of case studies, decision tools, and best practices (generated from project experience, regional exchanges) on climate change adaptation planning and budgeting for the agricultural sectors.

4.1.2. **Global mid-term meeting** organized to share learning outcomes and best practices.

4.1.3. **At least one side meeting during UNFCCC meeting** organized for target country representatives to share lessons and for outreach.

Output 4.2: Global outreach regarding the UNFCCC process including supporting the LEG work, the Adaptation Committee and the Global Green Climate Fund;

4.2.1. **Three outreach presentations** made on case studies/lessons learnt to UNFCCC and other conferences

Output 4.3: Annual report on documenting integrating agriculture into the NAPs process.

4.3.1. **One annual report a year** produced documenting progress in integrating agriculture into the NAPs process.

2.5 Theory of Change

The vision of this project is to arrive at a situation where countries' decision makers are able to **integrate climate change concerns as they affect agricultural sector-based livelihoods into associated national and sectoral planning and budgeting processes**. The pathway of change that will bring about this outcome is based on four different medium term outcomes: strengthened technical capacity and institution-building on NAPs; development of integrated roadmaps for NAPs; improved evidence-based results for NAPs; and strengthened advocacy and knowledge-sharing on NAPs.

The theory of change to achieve the first medium-term outcome is dependent on the effective training of technical staff and public service officers supporting agriculture-based livelihood development in ministries and relevant institutions, in adaptation-sensitive planning and budgeting; economic valuation; including costing and cost-benefit analysis for climate change adaptation options in the agriculture sector.

The theory of change to achieve the second medium-term outcome relies on the integration of agriculture concerns into the national cross-sectoral NAP process and the formulation of climate-sensitive investment plans for the agriculture sectors.

The theory of change to achieve the third medium-term outcome is based on the strengthened capacities of agriculture-based impact assessment and monitoring units and central statistical officers on using quasi-experimental design for monitoring the effectiveness of adaptation, including gender-differentiated adaptation options. The case studies generated, disseminated, and analysed will also support this theory of change.

The theory of change to achieve the fourth medium-term outcome is based on convened exchanges on science and technology and economics of adaptation to support the integration of adaptation options into national investment plans managed by Finance/Planning Ministries, and evidence-based monitoring frameworks for climate resilient development in key sectors and issues. Further, to achieve this goal, a global outreach of lessons and experiences is also needed.

2.6. Key indicators, risks and assumptions

2.6.1. Indicators

Objective: Climate change concerns as they affect agricultural sector-based livelihoods are integrated in associated national and sectoral planning and budgeting processes.

Indicators

1. Number of gender-sensitive adaptation action areas prioritized by the agriculture sectors and commenced implementation in the context of existing national and subnational development frameworks.
2. Medium-term and annual budget for the agriculture sector adjusted to accommodate requirements for addressing climate change concerns.

Outcome 1: Technical capacity and institution-building on NAPs strengthened

Indicator

1. Proportion of technical staff and public service officers supporting agriculture-based livelihood adaptation in relevant ministries trained in national adaptation planning and budgeting, including the technical aspects of formulating roadmaps, and conducting economics of adaptation assessments. This will be focused largely on Ministries of Agriculture, Environment, Planning and Finance, Water, Education, Transport, Housing, Community Development, and relevant national meteorological institutes and disaster management authorities.

Outcome 2: Integrated roadmaps for NAPs developed

Indicators

1. Number of national and subnational planning and budgeting roadmaps formulated, taking gender into account, to guide the process of integrating climate change concerns affecting livelihoods into the agriculture sector. This includes documents containing current, future scenarios for the agriculture-sector under conditions of climate change (including both slow onset and extremes), cost-benefit assessments of adaptation options, documentation of climate-resilient budgeting in the agriculture sector, as well as stock-taking of national and subnational priority adaptation options that also safeguard livelihoods.
2. Number of target institutions with increased technical capacity to manage adverse impacts of climate change on agriculture-based livelihoods.

Outcome 3: Evidence-based results for NAPs improved

Indicator

1. Number of Ministries of Agriculture with impact evaluation frameworks for adaptation in the agriculture sector based on quasi-experimental design principles adopted. These frameworks include the identification of differential needs and adaptation options for men and women and the systematic integration of gender-sensitive indicators or sex-disaggregated data into data collection and analysis systems of the government.

Outcome 4: Advocacy and knowledge-sharing on NAPs promoted

Indicators

1. Number of best practices and lessons learned, taking into account gender dimensions, from the project disseminated. This will include dissemination through documentation and relevant communication platforms at national and international levels
2. Number of communication platforms in which best practices and lessons learnt were shared and disseminated at the national and international platforms (south-south exchanges, SSC global supply-demand matching platform, regional forums) and at the UNFCCC, including events organized in partnership with the LEG).

2.6.2. Risks and Risk Mitigation Measures

Risk	Description	Proposed mitigation actions
Institutional weaknesses of the implementing agency <i>(medium)</i>	In some countries the UNDP and FAO country offices may be weak in terms of relationships with target ministries regarding the climate change and national focal points. This may require different strategies to achieve ministry buy-in, for example through UNFCCC focal points.	UNDP and FAO have a long experience in supporting countries in the areas of adaptation and enhancement of agricultural-based livelihoods. Country offices for both agencies are well-established in target countries. Both agencies have a long record in providing technical assistance. In most cases, there is a well-established record of adaptation projects (many of which intersect with the agricultural sector) supported by both UNDP and FAO. The proposed project will build on what is already ongoing. Where necessary, additional capacity will be strengthened in the relevant offices by drawing on existing technical staff at the regional and global level who are specialized in relevant subject matters.
Political commitment for a country to engage <i>(medium to low)</i>	In some countries there may be lack of continuous political commitment of government, technical and financial partners to treat climate change adaptation as a political priority. This may impact on the effectiveness of the project.	This can be mitigated by applying a consultative approach from the project start and throughout the project implementation ensuring that the needed ownership and buy-in is built up and sustained. Relevant ministries will discuss and determine priorities for agriculture and national strategies so that the project's activities can be oriented to matching countries' specific needs. Activities to conduct such consultations have been built into the project design and budgeted.
Financial limitations <i>(medium to high)</i>	Limited financial resources to support a full suite of adaptation options being tested under Outcome 3.	This project will be linked to a number of other UNDP and FAO supported projects with dedicated funding streams to implement adaptation options. The ICI funds will be used to ensure that an experimental based approach in M&E is put in place in these projects and lessons are extracted from those.
Methodological weaknesses <i>(medium)</i>	In congruence with the LEG guidelines for NAPs, the roadmaps created by countries are flexible and based on countries' needs. This could lead to difficulties in generalizing lessons for planning as guidelines are not meant to be prescriptive.	In spite of the challenges of flexible pathways and outcomes, there is considerable opportunity to chart a process that is accessible and reasonable to countries, but builds on existing NAPs work. This will better ensure the sustainability of outcomes and achieve buy-in from countries.
Security hazards <i>(low)</i>	At present, there is political unrest and instability in certain areas of several countries, in particular Kenya and the Philippines.	In spite of political unrest in some areas in the countries the proposed project seeks to work in, these do not pose a direct risk. Selection of pilot sites will be conducted in careful consultation with national and sub-regional ministry officials to mitigate this risk.
Project management complexities <i>(low)</i>	Due to the high number of target countries, the high number of institutions and partners involved, and the variety of activities undertaken, there may be certain management challenges and loopholes, which could lead to monitoring difficulties.	UNDP and FAO, as well as implementing partners in countries, specialize in the management and execution of multi-lateral, multi-partner projects. Members of the project team have a track record of managing complex, long-term projects, especially across multiple countries, while meeting project objectives. It is proposed that each country would set up a project-based baseline for the indicators and an M&E system. Also to mitigate potential management challenges, each stakeholder's roles will be clearly defined at the inception phase. Also in the project set-up, the global level coordination will build on as many synergies as possible from both organization's portfolios including synergies through national, regional and global partnerships and knowledge networks.

2.7 Cost- Effectiveness

The implementation of the ICI project will build on a substantial wealth of knowledge, lessons, and experiences that stem from the numerous initiatives detailed under Section 2.3.2. The ICI project will also benefit from the structure, knowledge platforms, and cohort of technical experts currently active in the implementation of these projects.

The testing of adaptation options in Outcome 3 is intended to build on existing ECCA, LECB, and other relevant UNDP and FAO projects (including GEF, LDCF, SCCF-funded projects) that are ongoing in countries. In each of the target countries, UNDP and FAO supports the implementation of adaptation projects financed by LDCF,

SCCF, and other funds. These ongoing projects which amount to more than US\$60 million of grant financing will be leveraged in order to ensure maximum synergies and cost-sharing when pursuing the objectives of this project. By working closely and building on already-established research sites and projects, the ICI project can generate stronger case studies while promoting cost-effectiveness and avoiding replication of activities.

The project utilizes established and tested platforms for knowledge-sharing. Lessons learned, experiences to date and good practices related to climate change adaptation planning will be captured and synthesized. These lessons will then be disseminated through knowledge and information systems established on existing networks, and through online training materials, including the UNDP-Adaptation Learning Mechanism (ALM) website and other knowledge platforms established with development partners under linked initiatives (such as the SSC global supply-demand matching platform, to be launched in December 2015). This is a cost-effective way of maintaining North-South and South-South cooperation among a broad range of stakeholders, including government staff, policy-makers, line ministries and all role players responsible for advancing climate change adaptation in development planning, processes and strategies within all relevant sectors and at all relevant levels.

2.8 Sustainability

As the project is explicitly geared to mainstream climate change into planning and budgeting cycles, and especially in the agriculture sector, the project's results have a very strong likelihood of adoption and impact at the national and international levels after the end of the ICI funding period:

National-level sustainability of impacts:

- ICI funds will capacitate the targeted countries to test approaches and acquire skills which can then be taken forward as part of the regular cycle of planning and budgeting in the agriculture sector as well as across sectors.
- By ensuring that NAP becomes a part of national planning and budgeting considerations, we expect that countries will take up some of the activities identified at the end of the project.
- The project makes connections to and helps identify bilateral and multilateral funds (such as the Green Climate Fund) that are available to further develop these activities.
- By making direct links between agriculture-sector planning and national adaptation planning, the project will contribute to giving greater visibility to agriculture-related adaptation concerns within the planning and finance ministries. This will contribute to the continuity and sustainability of the project's impacts
- By building on existing projects, this project promotes the synergistic links between adaptation-related projects and with projects related to climate and disaster risk reduction.

Sub-national sustainability of impacts:

- With this project, planning and budgeting at the district-level will have an entry-point to taking into account climate change adaptation concerns. This will create an opportunity for other sectors at the sub-national level to integrate adaptation into their plans and budgets as well. This includes promoting the integration of climate change adaptation and climate and disaster risk reduction.

International-level sustainability of impacts:

- The lessons learnt from this project will provide input to the AC, LEG, and UN Agencies and development partners working on the international NAP agenda, to further the knowledge base on training materials and coordination mechanisms in support for NAPs not only for LDCs but DCs as well.
- While the focus of implementation is on the national level, the project will be coordinated at the global level by UNDP and FAO, and implemented mainly at national level with some activities taking place at the regional level.

The sustainability of impacts will be enhanced through engagement with the following relevant institutions working across the national, sub-national, regional and global levels:

1. Expert groups that support specific international institutions and/or processes like the Adaptation Committee, the LEG, the GEF Secretariat, Adaptation Fund Secretariat, and Green Climate Fund;
2. CGIAR (CCAFs)/Universities/Research community
3. Practitioners and civil society organisations which are key to include during the consultation process through a bottom-up approach to ensure the project's long-term sustainability and ownership across the different stakeholders.
4. NGOs (local, national, regional and international), including, for example, IUCN, IIED working on related work, also with regards to EBA approaches to exchange and incorporate findings into their ongoing projects;
5. IGO and bilateral agencies and interworking on agriculture and related fields like water (Global Water Partnership, GIZ).

2.9 Responsiveness to Gender-Specific Challenges

Comprehensive consideration of gender issues is a pre-requisite for sustainable development and adaptation action. This project mainstreams gender considerations through the following:

- Seek gender-balanced engagement at the ministerial level in stakeholder consultations during project implementation to ensure that the needs and challenges of women, youth, and other marginalized population groups are represented in the NAP processes
- Use Outcome 3 as a key entry point to identify differential needs and adaptation options for men and women participants in the agricultural sector. This gives the opportunity to integrate specific gender-sensitive indicators or sex-disaggregated data in the statistical data analysis and collection systems of the government
- 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.
- Tracking of gender dimensions of the results through specific project indicators.

2.10 Replicability

The multiplier effects of this project are significant. By targeting the foundational capacities of the planning processes at the country level that are most focused on climate change issues (Ministries of Environment, Planning and Agriculture), all future financing for climate change (be it through multilateral, bilateral or direct access channels) will be influenced and guided by the local technical capacities and enhanced planning and budgeting systems in place. The outcomes are highly replicable and have multiplier effects at the local, national and international levels:

Local/Sub-national

- The testing and costing adaptation options in pilot agricultural-based livelihood projects conducted can be replicated to other projects at the district/province levels.
- Strengthened capacity of agriculture ministries to integrate climate change adaptation concerns can strengthen adaptation planning at the sub-national and local levels.
- With this project, planning and budgeting at the district-level will have an entry-point to taking into account climate change adaptation concerns. This will create an opportunity for other sectors at the sub-national level to integrate adaptation into their plans and budgets as well.

National

- This project will strengthen the case for adaptation concerns of other sectors to be integrated into national planning and budgeting, and provide a potential model for these sectors.

- The identification and early development of further projects for financing can be replicated as part of other sectors' adaptation planning processes.
- As the project emphasizes the training of trainers (to conduct cost-benefit analyses, development of climate and impact scenarios in particular for the agriculture sectors at national and sub-national level, planning and budgeting), trained staff are expected to conduct future trainings within the Ministries of Agriculture and related ministries.
- Training materials can be revised upon project completion and utilized for future trainings.

Regional

- At the regional level, the project will seek linkages with the ongoing work of a NEPAD (CAADP) which currently has several projects running or proposed on agriculture and climate change to reach 25 million farmers by 2025, while the CSA alliance with INGOs is expected to reach at least 6 million farmers.

International

- The project will generate 8 sets of good adaptation practices that can be shared and disseminated via south-south and regional dialogue platforms and will be showcased in particular through UNFCCC and its bodies (including the Adaptation Committee, the LEG group).
- The framework of testing adaptation options in existing projects can be shared with other countries embarking on national adaptation planning processes focusing on livelihoods reliant on the agricultural sectors.

The framework for testing and costing adaptation options in pilot agricultural-based livelihood projects conducted can be replicated to other projects and shared via the UNDP-ALM and FAO website, partner's knowledge networks and publications in Output 4.3.

2.11. Stakeholder involvement plan

The implementation strategy for the project is dependent on comprehensive stakeholder participation. UNDP will lead the implementation of all outcomes in this project. FAO is a responsible party which will lead in the delivery of specific outputs. The outputs for which FAO will be responsible for will be defined during the first and second quarters of 2015 (project inception phase). In addition to UNDP and FAO (and their representative country and regional and sub-regional offices) other organisations will be involved in this initiative: national climate change focal points; Ministries of Agriculture, Planning and Finance; and relevant line ministries (e.g. Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry). International partners include GIZ, IIED, UNITAR, LEG, Adaptation Committee (AC), IUCN, and other relevant organisations. Regarding stakeholders at the national-level, their roles will be further fine-tuned after in-country consultations are undertaken, also during the project inception phase. These stakeholder consultations will invite key organisations in government, civil society and research to determine the specific priorities for the country and their specific engagement for the duration of the project.

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
Outcome 1 Technical capacity and institutions on NAPs strengthened	Output 1.1 Training provided to technical staff and public service officers, supporting agriculture-based livelihood development in ministries and relevant institutions, including Agriculture, Environment and Planning, Finance, Education,	UNDP	FAO, GIZ, national and international CSOs, regional cooperation organisations, national planning ministries, line ministries	Skills and capacity assessment at the individual and institutional level to identify existing capacities and determine opportunities and gaps in understanding on mainstreaming climate change adaptation Training sessions organized on NAP, climate scenario building and

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	<p>Transport, Housing, Local governments and units responsible for Community Development, national meteorological institutions and disaster management authorities in adaptation sensitive planning and budgeting</p>			<p>downscaling of climate change projections and building on the work already done by the CCAFs on socioeconomic scenarios for climate change planning</p> <p>Technical groups (1 per country) formed comprising of NAPs-trained personnel from the Ministries of Agriculture, Finance, Planning, and Environment, and other relevant sectors</p> <p>Workshops (1 per country) organized on impacts of climate change and adaptation options for the agricultural sector</p>
	<p>Output 1.2 Training provided to technical staff and public service officers supporting agriculture-based livelihood adaptation in key ministries and relevant institutions in economic valuation, including costing, cost-benefit analysis for climate change adaptation options in the agriculture sectors.</p>	<p>FAO</p>	<p>UNDP, UNITAR, UNEP, GIZ, national and international CSOs, regional cooperation organisations, national planning ministries, line ministries</p>	<p>Skills and capacity assessment (1 per country) of agriculture, forestry and fisheries ministries to determine the number and skillset of trainers needed to train technical experts in the respective ministries other ministries on the medium/longer term vulnerabilities of the agricultural sector to climate change and prioritization of options.</p> <p>Training sessions (1 per country) organized on adaptation cost-benefit analysis, budgeting for adaptation options, climate finance options for representatives from ministries and relevant institutions.</p> <p>Training workshops organized for technical officers involved in agriculture on adaptation options and cost-benefit analysis.</p> <p>Handbook on climate change adaptation in agriculture and a summary of decision tools published (based on 8 target countries' experiences).</p>
	<p>Output 1.3 Developed training materials based on the knowledge gap and needs identified in 1.1 and 1.2 including decision tools for prioritizing investment options and low emissions development pathways.</p>	<p>UNDP</p>	<p>FAO, UNITAR, UNEP, GIZ, national and international CSOs, civil service colleges, research institutions, national planning ministries, line ministries</p>	<p>Outreach meetings (1 per country) facilitated between civil service college, ministries and available international and country-level trainers from UNITAR, UNFCCC, Government of Germany, and other organizations (including GIZ 3-day country training on NAPs) to connect public sector experts from relevant ministries and educators to the technical group and available training programs.</p>

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
Outcome 2 Integrated roadmaps for NAPs developed	Output 2.1 Formulate roadmaps for integrating climate into agriculture sectors planning including climate-smart aspects based on existing information, knowledge gaps and institutional strengths/ weaknesses. This will require the conduct of in-country cross sectoral consultations (one per country), facilitator, stocktaking consultant or coordinator.	UNDP	FAO, GIZ, national and international CSOs, regional cooperation organisations, national planning ministries, line ministries, meteorological agencies and disaster management authorities	<p>Stock-taking of existing initiatives, policies (including DRR/CRM) and climate data/climate projection models (1 per country) to determine entry points and gaps for integrating climate change adaptation into agriculture-sector planning.</p> <p>8 national NAP orientation sessions (1 per country) conducted bringing together UNFCCC focal points, ministries and representatives of different sectors – planning, finance, agriculture, environment, as well as community-level organizations. Workshop will familiarize ministry representatives on NAPs, LEG guidelines, available support, tools, and financing options, and will include presentations by each ministry on sector-specific medium- to long-term needs, priorities and existing initiatives related to mainstreaming adaptation into planning and budgeting</p>
	Output 2.2 Update 8 national development plans to take into account cross-sectoral issues that emerge when addressing climate change concerns in the agriculture sectors.	UNDP	FAO, National and international CSOs, regional cooperation organisations, national planning ministries, line ministries, meteorological agencies and disaster management authorities	8 national consultative dialogues to validate roadmap, involving ministries of agriculture, planning, finance, the environment, and disaster management authorities, as well as civil society organizations, community-based organizations involved in agricultural-based livelihoods.
	Output 2.3 Update, consult with countries and stakeholders, and verify nationally the Agriculture Supplement to the LEG guidelines to ensure agriculture concerns are integrated into the national cross sector NAPs process and to also support climate sensitive investment plans for the agriculture sectors.	FAO	UNDP, Ministries of Agriculture, subnational agricultural organisations, relevant line ministries	Global consultations including online surveys and multi-stakeholder consultations along the UNFCCC meetings and national consultations to refine and peer-review the Agriculture Supplement to the NAPs- LEG guidelines. This also includes considerations for climate sensitive investment plans for the agriculture sectors.
Outcome 3. Evidence-based results for NAPs improved	Output 3.1 Design and application of quasi-experimental design based impact assessment	UNDP	UNDP and FAO country offices,	Identification of 1-2 ongoing agriculture-based livelihoods projects per target country (10 to 20 projects) to which experimental

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	framework for a portfolio of BMUB/ LDCF/SCCF projects on agriculture based livelihoods projects ongoing in targeted countries		Ministries of Agriculture, research institutions in target countries, UNDP and FAO country offices, relevant line agencies	designed-based monitoring framework for climate change adaptation can be applied Cost-benefit analysis of identified agriculture livelihoods projects
	Output 3.2 Strengthened capacity of agriculture-based impact assessment and monitoring units and central statistical officers on using quasi-experimental design based impact assessment frameworks (including adding adaptation relevant indicators) for monitoring the effectiveness of adaptation.	FAO	UNDP and FAO country offices, Ministries of Agriculture, Research institutions in target countries, UNDP and FAO country offices, relevant line agencies, including meteorological agencies and disaster management authorities	8 training sessions (1 per country per year) conducted for cost-benefit analysis and applying experimental design-based monitoring framework for measuring adaptation impacts
	Output 3.3 Generated case studies on evidence based results through initiatives implemented	FAO	UNDP and FAO country offices, Ministries of Agriculture, Research institutions in target countries, relevant line agencies	8 sets of case studies of adaptation options tested/analysed, including where relevant, focus on gender equality and women's empowerment in agriculture sector Report/presentation on results of analyses applied to existing agricultural livelihoods projects
Outcome 4: Advocacy and knowledge-sharing on NAPs promoted	Output 4.1 Convened exchanges on science and technology and economics of adaptation to support the integration of adaptation options into national investment plans managed by Finance/Planning Ministries, and evidence-based monitoring frameworks for climate resilient development in key sectors and issues. This includes exchanges	FAO	UNDP, LEG, AC, NEPAD (CAADP), COMESA, CSA Alliance, CCAFs, CAF, Forum of Ministers of Latin America and the Caribbean, UNITAR, academic institutions,	Inter-active good practice compilation of case studies, decision tools, and best practices (generated from project experience, regional exchanges) on climate change adaptation planning and budgeting for the agricultural sectors. Global mid-term meeting organized to share learning outcomes and best practices. At least one side meeting during

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	between countries including North-South/South-South exchanges, inter-agency coordination on best practices/lessons learned.		think-tanks.	UNFCCC meeting organized for target country representatives to share lessons and for outreach.
	Output 4.2: Global outreach regarding the UNFCCC process including supporting the LEG work, the Adaptation Committee and the Global Green Climate Fund	UNDP	FAO, LEG, AC, NEPAD (CAADP), COMESA, CSA Alliance, CCAFs, CAF, Forum of Ministers of Latin America and the Caribbean, UNITAR, GEF, academic institutions, think-tanks.	Three outreach presentations made on case studies/lessons learnt to UNFCCC and other conferences
	Output 4.3: Annual report on documenting integrating agriculture into the NAPs process.	FAO	UNDP, LEG, AC, NEPAD (CAADP), COMESA, CSA Alliance, CCAFs, CAF, Forum of Ministers of Latin America and the Caribbean, UNITAR, academic institutions, think-tanks.	One annual report a year produced documenting progress in integrating agriculture into the NAPs process.

2.12 Compliance with UNDP Safeguards Policies

This project has been ranked as "low-risk". Please see Annex B for more details.

III. PROGRAMME RESULTS FRAMEWORK

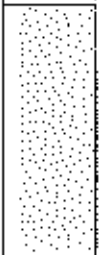
Project Objective:	Indicator	Baseline	Targets End of Programme	Source of verification	Risks and Assumptions
<p>Climate change concerns as they affect agricultural sector-based livelihoods are integrated in associated national and sectoral planning and budgeting processes.</p>	<ol style="list-style-type: none"> Number of gender neutral adaptation action areas prioritized by the agriculture sectors and commenced implementation in the context of existing national and subnational development frameworks. Medium-term and annual budget for the agriculture sector adjusted to accommodate requirements for addressing climate change concerns. 	<p>Variable – limited to none. Baseline will be assessed during the inception phase.</p> <p>Variable – limited.</p>	<p>16 actions areas (2 per country) implemented with indicated budget from domestic or external sources.</p> <p>2 additional national level policy adjustments per country.</p>	<p>Planning and policy documents, climate expenditure reviews analysis.</p> <p>Climate expenditure reviews at the sector level and national level (also with reference to other sectors).</p>	<p>Institutional weaknesses of the implementing agency</p> <p>Political commitment for a country to engage</p> <p>Security hazards</p> <p>Financial limitations</p>
<p>Outcome 1¹⁵: Technical capacity and institution-building on NAPs strengthened</p>	<ol style="list-style-type: none"> Proportion of technical staff and public service officers supporting agriculture-based livelihood adaptation in relevant ministries trained in national adaptation planning and budgeting, including the technical aspects of formulating roadmaps, and conducting economics of adaptation assessments. This will be focused largely on Ministries of Agriculture, Environment, Planning and Finance, Water, Education, Transport, Housing, Community Development, 	<p>Limited. Baseline will be assessed during the project inception phase</p>	<p>At least additional 30% of staff supporting climate change risk management within key ministries.</p>	<p>Evaluation reports; Gender-disaggregated survey to determine number of technically-qualified staff working on and having already been trained to address climate change concerns for agriculture-based livelihoods in key ministries.</p>	<p>Project management complexities</p>

¹⁴ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

¹⁵ All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

<p>relevant national meteorological institutes and disaster management authorities.</p>	<p>Number of national and subnational planning and budgeting roadmaps formulated, taking gender into account, to guide the process of integrating climate change concerns affecting livelihoods into the agriculture sector. This includes documents containing current, future scenarios for the agriculture-sector under conditions of climate change (including both slow onset and extremes), cost-benefit assessments of adaptation options, documentation of climate-resilient budgeting in the agriculture sector, as well as stock-taking of national and subnational priority adaptation options that also safeguard livelihoods.</p>	<p>Variable – limited; to be assessed during the project inception phase</p>	<p>All 8 countries have consolidated and mandated integrated roadmaps for NAPs with a particular focus on the agriculture sector. In addition, at least 3 national and 2 sub-national planning and budgeting instruments adopted by national/local government per country.</p>	<p>Survey of national and sub-national planning documents, strategic plans and reports by ministries/institutions which directly quote outputs, indicators and activities relating to the consideration of climate change concerns for livelihood opportunities dependent on the agriculture sector</p>	<p>Security hazards Financial limitations Political commitment</p>
<p>Outcome 2: Integrated roadmaps for NAPs developed</p>	<p>1. Number of national and subnational planning and budgeting roadmaps formulated, taking gender into account, to guide the process of integrating climate change concerns affecting livelihoods into the agriculture sector. This includes documents containing current, future scenarios for the agriculture-sector under conditions of climate change (including both slow onset and extremes), cost-benefit assessments of adaptation options, documentation of climate-resilient budgeting in the agriculture sector, as well as stock-taking of national and subnational priority adaptation options that also safeguard livelihoods.</p>	<p>Variable – limited; to be assessed during the project inception phase</p>	<p>All 8 countries have consolidated and mandated integrated roadmaps for NAPs with a particular focus on the agriculture sector. In addition, at least 3 national and 2 sub-national planning and budgeting instruments adopted by national/local government per country.</p>	<p>Survey of national and sub-national planning documents, strategic plans and reports by ministries/institutions which directly quote outputs, indicators and activities relating to the consideration of climate change concerns for livelihood opportunities dependent on the agriculture sector</p>	<p>Security hazards Financial limitations Political commitment</p>
<p>2. Number of target institutions with increased technical capacity to manage adverse impacts of climate change on agriculture-based livelihoods.</p>	<p>Variable – limited; to be assessed during the project inception phase</p>	<p>At least 5 key institutions at national and sub-national level.</p>	<p>Survey of institutions at the national and sectoral level with planning and budgeting instruments in place to guide the management of climate change risks affecting agriculture based livelihoods</p>	<p>National and sectoral planning and budgeting documents.</p>	<p>Security hazards Financial limitations Political commitment</p>
<p>3. Percentage of the budget of at least 3 public institutions (national, sub-national) allocated to climate change</p>	<p>Variable – limited; to be assessed during the project inception phase</p>	<p>20% increase in unprecedented budget allocations to climate change adaptation, in the</p>	<p>National and sectoral planning and budgeting documents.</p>	<p>National and sectoral planning and budgeting documents.</p>	<p>Security hazards Financial limitations Political commitment</p>

	adaptation concerns of the agricultural sector.	project inception phase	context of agricultural sector		
<p>Outcome 3: Evidence-based results for NAPs improved</p>	<p>1. Number of Ministries of Agriculture with impact evaluation frameworks for adaptation in the agriculture sector based on quasi experimental design principles adopted. These include the identification of differential needs and adaptation options for men and women and the systematic integration of gender-sensitive indicators or sex-disaggregated data into data collection and analysis systems of the government</p>	<p>Variable – limited, to be assessed during the project inception phase</p>	<p>At least 8 Ministries of Agriculture or national agencies adopt impact assessment frameworks and/or indicators based on adaptation options tested using quasi-experimental design (1 per country)</p>	<p>Planning and policy documents for monitoring and evaluation for adaptation practices within Ministries of Agriculture and national agencies, such as Finance, Planning, meteorological agencies and disaster management authorities</p>	<p>Methodological weaknesses</p>
<p>Outcome 4: Advocacy and knowledge-sharing on NAPs promoted</p>	<p>1. Number of best practices and lessons learned, taking into account gender dimensions, from the project disseminated. This will include dissemination through documentation and relevant communication platforms at national and international levels.</p> <p>2. Number of communication platforms in which best practices and lessons learnt were shared and disseminated at the national and international platforms (south-south exchanges, SSC supply-demand matching platform, regional forums) and at the UNFCCC, including events</p>	<p>Variable – limited, to be assessed during the project inception phase</p>	<p>at least 4 national exchange consultations and 8 case studies shared per country</p>	<p>number of additional entries in media of each country; workshop surveys, handbooks and reports on lessons learnt and best practices)</p>	<p>Methodological weaknesses</p>

	organized in partnership with the LEG).			
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IV. TOTAL BUDGET AND WORKPLAN

Award ID:	00072738	Project ID(s):	00093171
Award Title:	Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)		
Business Unit:	UNDP1		
Project Title:	Global: Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)		
PIMS Number:	5246		
Implementing Partner (Executing Agency)	UNDP		

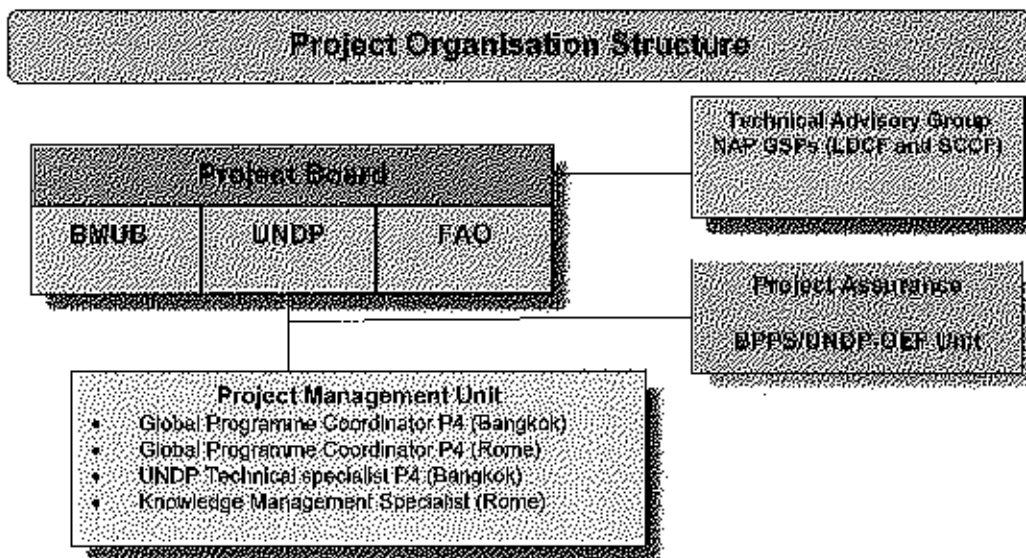
SOI (e.g. GEF) Outcome/ Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:			
OUTCOME 1: Technical capacity and institution-building on NAPs strengthened	UNDP	23400	BMUB	61300	Salaries - IP Staff	\$62,526	\$62,526	\$62,526	\$62,526	\$250,104	a			
				71200	International Consultants	\$126,549	\$126,549	\$126,549	\$126,549	\$508,196	b			
				72100	Contractual service companies	\$12,071	\$635	\$635	\$635	\$19,694	c			
				75700	Training and Workshops	\$1,668	\$0	\$0	\$0	\$1,668	d			
				71600	Travel	\$18,742	\$10,403	\$19,538	\$22,236	\$70,919	e			
				74200	Audio visual and Print Prod Cost	\$2,886	\$79	\$79	\$79	\$3,123	f			
				75100	GMS	\$53,816	\$49,510	\$49,910	\$52,169	\$205,405	h			
					Sub-total Outcome 1	\$278,258	\$249,702	\$269,237	\$269,912	\$1,057,109				
								61300	Salaries - IP Staff	\$124,636	\$124,636	\$124,636	\$496,544	a
					FAO	23400	BMUB	71200	International Consultants	\$205,241	\$205,241	\$205,241	\$820,984	b

Budget Note	Description of Cost Item
a.	Project staff: Global Project Coordinators (2 full-time P4s (1 FAO and 1 UNDP) + 30% of 1 P4- UNDP); KM Expert (P3) to support NAP activities and training, and to coordinate project; and 40% of project management/delivery analyst (P2). Please refer to Annex D for more details.
b.	Technical expertise in economics of adaptation, planning, budgeting, climate scenario formulation, communications and research support, country support, and agro-economy. Please refer to Annex D for more details.
c.	Services for agriculture sector economic analysis including household survey (all Outcomes); project grants to countries for adaptation experimental design (research assistance, equipment, research materials cost) (Outcome 3); project mid-term and final evaluations.
d.	Costs of inception workshop, global meetings, national NAPs meetings, national coordination meetings, side meetings at COP and UNFCCC
e.	Travel related to in-country consultations and training; travel to global meetings
f.	Audio/visual, including purchase/rent of video and photography equipment, training materials, flyers, policy briefs and handbook
g.	UNDP Direct Project Costs (2% of programmable amount) DPCs are execution – related costs that are separate and distinct from General Management Support (GMS) costs.
h.	UNDP administrative cost (8% of programmable amount)
i.	Information technology equipment, including mobile plans for Ministry of Agriculture staff, laptops per country NAP coordinator, printers, printer cartridges, data storage, fax equipment, scanners, software and software updates, including data processing software for Outcome 3, maintenance costs. Software includes Microsoft Office suite (license estimated at 143€, UNDP Bangkok Regional Hub) and purchase of other software as needed (statistical, data processing, climate modelling, GIS, etc.). Equipment including maintenance, based on country estimate (Mali). Mobile plans based on an estimate of 400€ a year.
j.	Services for auditing, total 524,000 a year (Year 2 and 4), based on guideline of 0.2% of total project cost.

V. MANAGEMENT ARRANGEMENTS

The project will be implemented under UNDP's Direct Implementation Modality (DIM). UNDP- Bangkok Regional Hub (BRH) will function as a Responsible Party and be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, organization of regional and national workshops.

UNDP- GEF, in its oversight capacity to BMUB, will delegate spending authority to the Bangkok Regional Hub (BRH). The budget will be set up by UNDP-GEF under B0441 BRH B-dept. UNDP-GEF will approve the budget, and UNDP-BRH can spend within the approved spending limits established by UNDP-GEF. The project will be overseen by the UNDP-GEF Task Manager while day-to-day management will be undertaken by the Global Programme Coordinator (lead) based out of NY, in coordination with a counterpart based out of FAO-Rome.



Project Board

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

- One representative from UNDP (Chair);
- One representative from FAO;
- One representative from BMUB

The PB will review progress towards project implementation at regular intervals (but at least annually), or as required, at the request of the Global Project Coordinators. The PB will also approve the annual work plan prepared by Global Project Coordinators, with the assistance of the Project Management Unit. The annual work plan will be the instrument of authorisation through which the Global Project Coordinators and their team will deliver results. Additional functions of the PB are to: a) ensure that BMUB resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; b) arbitrate significant conflicts within the project; and c) negotiate a solution to major

problems that may arise between the project and external bodies. In order to ensure ultimate accountability for project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. PB members, and associated travel, are not funded through this project. As far as possible, PB meetings will be coordinated with the regularly planned Adaptation Committee meetings, other events where PB members are present.

Responsible Parties

FAO will function as a Responsible Party and will be engaged in implementing activities and delivering outputs that are under its mandate in accordance with the Stakeholder Involvement Plan which will be finalized during project inception phase and aligned with the project's first annual work plan. As a Responsible Party, FAO will assume responsibility for the delivery of specific project Outcomes and/or outputs, in coordination with the PMU and based on agreed terms of reference.

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

- a) Global Project Coordinator (Lead) - based at BRH (Bangkok)
- b) Global Project Coordinator (Technical Specialist- Agriculture)- (based out of FAO-Rome)
- c) Technical Specialist (Climate Change Adaptation) – UNDP – based out of BRH (Bangkok)
- d) Knowledge Management Specialist – FAO - Rome

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

The Terms of Reference (ToRs) for the technical staff is included as Annex C.

Project Assurance

UNDP-GEF will provide financial and technical oversight services for the project. UNDP will ensure that project monitoring and evaluation run according to an agreed schedule, and in line with UNDP requirements. This is further described in Section 6 below. FAO will report to UNDP on both substantive and financial aspects of this project in accordance with an agreed work plan and schedule and as outlined in the UN Agency to UN Agency Contribution Agreement to be signed by both organizations. UNDP will provide a consolidated report on the substantive and financial aspects of this project to BMUB as per Agreement signed on 5 December, 2014 (see Annex D).

Project Support Services

As per above, project support services will be provided by Bangkok Regional Hub office, functioning as a responsible party to BPPS/UNDP-GEF unit. Direct costs will covered by the project.

Audit clause: The project will be audited in accordance with UNDP Financial Regulations and Rules and Audit Policies.

VI. MONITORING FRAMEWORK AND EVALUATION

An initial project inception period of 4-8 months is planned from January to August 2015. During this period, project staff will be recruited and in-country consultations will conducted to take stock of existing data availability, institutional and technical expertise, national and sector development and climate change strategies and plans in each of the 8 countries to determine country priorities and needs. A workplan and M&E framework will be developed for each country that covers each stage and milestones in the implementation phase:

- International and national Project staff recruited (Q01-Q2/2015)
- Initial in-country consultations with UNFCCC focal points and agriculture ministries; drafting of workplans and M&E frameworks (Q02-Q4/2015)
- Operational planning between FAO and UNDP (Q02/2015)
 - Project inception workshop involving all countries and partners organized in Bangkok (Q02-Q3/2015)

Project start:

A Project Inception Workshop will be held within the first 3 months of project start with those with assigned roles in the project organization structure, and, where appropriate/feasible, regional technical policy and project advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan, engage relevant stakeholders and develop and adopt an M&E framework. During the inception workshop, the following should be addressed:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support the roles, functions, and responsibilities of UNDP-GEF staff vis-à-vis the project team including those based in UNDP and FAO. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines and conflict resolution mechanisms. Based on the project results framework, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The M&E work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, and arrangements of necessary audits.
- Plan and schedule PB meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first PB meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly:

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

Annually:

Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and SOF (e.g. GEF) reporting requirements. The APR/PIR includes, but is not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project outcome (annual).
- Lesson learned/good practices
- AWP and other expenditure reports
- Risk and adaptive management
- ATLAS QPR

Periodic Monitoring through site visits:

UNDP Country Office (CO) and UNDP-GEF will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP-GEF and will be circulated no less than one month after the visit to the project team and Project Board members.

Mid-term of project cycle:

The project will undergo an independent Mid-Term Review at the mid-point of project implementation (insert date). The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term Review will be prepared by the UNDP Project Management team in close consultation with the BMUB. The management response to the review will be prepared and the project team will need to take actions as outlined in the recommendation.

End of Project:

An independent Final Terminal Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and BMUB guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP Project Management team based on guidance from UNDP-GEF.

The Final Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC).

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

M&E workplan and budget

Type of M&E activity	Responsible Parties	Budget (US\$)	Frequency
Inception Workshop and Report	<ul style="list-style-type: none"> UNDP and FAO Project Coordinators UNDP and FAO Country Support Officers 	Indicative cost: 82,275	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> UNDP and FAO Project Coordinators will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 		Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> Oversight by UNDP and FAO Project Coordinators Project team 		Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> UNDP and FAO Project Coordinators Project team UNDP EEG 	None	Annually
Periodic status/	<ul style="list-style-type: none"> UNDP and FAO Project 	None	Quarterly

Types of MMR activities	Responsible Parties	Estimate (USD)	Time frame
progress reports	<ul style="list-style-type: none"> ▪ Coordinators ▪ Project team 		
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ UNDP and FAO Project Coordinators ▪ Project team ▪ External Consultants (i.e. evaluation team) 	Indicative cost: 30,500	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> ▪ UNDP and FAO Project Coordinators ▪ Project team ▪ External Consultants (i.e. evaluation team) 	Indicative cost : 30,500	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ UNDP and FAO Project Coordinators ▪ Project team ▪ External consultant 	13,000	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP and FAO Project Coordinators ▪ Project team 	Indicative cost per year: 12,000 (per Years 2 and 4)	2 nd and 4 th year
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP and FAO Project Coordinators ▪ UNDP and FAO Country Support Officers ▪ Government representatives 	Indicative cost per year: USD 10,000	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		USD 190,275 (+/- 5% of total budget)	

Learning and knowledge sharing:

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. UNDP-ALM will be used for this purpose.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used.

Full compliance is also required with the BMUB visibility requirements and strategies.

Any output produced through this project must bear the UNDP and BMUB logo. For details on the communications plan for this project, please refer to Annex 1.

VII. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof.

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

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

VIII. ANNEXES

Annex A: Risk Analysis

#	Description	Date Identified	Type ⁶	Impact & Probability ¹⁷	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Financial limitations of project for advancing the NAP process	Project development phase	Financial, Political	P: 4 I: 5	The project is meant to support the early stages of NAPs planning with the agricultural sector in mind. The testing of adaptation options in Outcome 3 can afford to remain at a small scale for a number reasons: 1) in most if not all countries there already exist programmes with existing pilot experiments testing agricultural adaptation options, and this project attempts to extend and deepen adaptation planning and budgeting for existing projects as far as possible, rather than create new pilots; 2) the purpose of these experiments are in part to familiarize agricultural sector officers with applying the training provided in Outcomes 1 and 2 to plan, budget, and apply cost-benefit analyses to adaptation options; 3) the project encourages the development of projects to be proposed as project ideas for future financing. These activities are targeted at helping national and subnational agriculture, finance and planning representatives to catalyse climate financing.	UNDP, FAO	UNDP, FAO	Dec 2014	
2	Coordination with country offices and development partners on NAP-related support activities	Project development phase	Operational	P: 2 I: 3	In some countries UNDP and FAO country offices may have not yet established strong relationships with target ministries. However, with respect to supporting countries in the areas of adaptation and enhancement of agricultural-based livelihoods, UNDP and FAO have a long record in providing technical	UNDP, FAO	UNDP, FAO	Dec 2014	

¹⁵ Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

¹⁷ Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Date Identified	Type ¹⁵	Impact & Probability ⁷	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
3	Effective coordination and political commitment at national level	Project development phase	Organizational	P: 3 I: 4	<p>assistance. In most cases, there is a well-established record of adaptation projects (many of which intersect with the agricultural sector) supported by both UNDP and FAO, including GEF projects, but also development partners such as GIZ and ILED. The proposed project will build on and where necessary bring additional capacity to these projects. Continued collaboration with development partners will promote complementary interventions, prevent duplication and tailor interventions to country needs.</p> <p>In some countries there may be lack of continuous political commitment of government, technical and financial partners to treat climate change adaptation as a political priority. This can be mitigated by applying a consultative approach from the project start and throughout the project implementation ensuring that the needed ownership and buy-in is built up and sustained. Relevant ministries will discuss and determine priorities for agriculture and national strategies so that the project's activities can be oriented to matching countries' specific needs. In addition, the inception workshop will build awareness of the value of NAP activities in facilitating links between multiple initiatives and projects on climate change adaptation being conducted in each country. In preparation for the full integration of adaptation into existing planning process.</p>	UNDP, FAO	UNDP, FAO	Dec 2014	
4	Generalizability of outputs	Project development phase	Operational	P: 4 I: 2	<p>In congruence with the LEG guidelines for NAPs, the roadmaps created by countries are flexible and based on countries' needs. This could lead to difficulties in generalizing lessons for planning as guidelines are not meant to be prescriptive. In spite of the challenges of flexible pathways and outcomes, there is considerable</p>	UNDP, FAO	UNDP, FAO	Dec 2014	

#	Description	Date identified	Type ⁶	Impact & Probability ⁷	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
5	Security hazards	Project development phase	Political	P: 1 I: 3	<p>opportunity to chart a process that is accessible and reasonable to countries, but builds on existing NAPs work. This will better ensure the sustainability of outcomes and achieve buy-in from countries.</p> <p>Terrorist attacks by an Al-Qasba affiliate groups targeting Western and Kenyan interests in the Nairobi area and coast, cities of Mombasa and Diani have been sporadic but on the increase, and while the situation requires continuous monitoring, it does not pose a direct risk to the entities involved in the project. In the Philippines kidnappings and attempted kidnappings of foreigners by terrorist and insurgent groups are limited to southern Sulu Sea area and Mindanao. Selection of pilot sites will be conducted in careful consultation with national and sub-regional ministry officials to mitigate this risk.</p>	UNDP, FAO	UNDP, FAO	Dec 2014	
6	Project management complexities	Project development phase	Organizational	P: 2 I: 3	<p>Due to the high number of target countries, the high number of institutions and partners involved, and the variety of activities undertaken, there may be certain management challenges which could lead to monitoring difficulties. Members of the project team have a track record of managing complex long-term projects, especially across multiple countries, while meeting project objectives. It is proposed that each country set up a project baseline for the indicators and an I&E system. To mitigate potential management challenges, each coordinator, assistant, country support officers and national NAPs coordinators' roles will be clearly defined at the inception phase. Also in the project set-up, the global level coordination was emphasized to be able to build on as many synergies as possible from both organizations' country portfolios including synergies</p>	UNDP, FAO	UNDP, FAO	Dec 2014	

#	Description	Date Identified	Type ¹⁵	Impact & Probability ¹⁷	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					through, national, regional and global : partnerships and knowledge : networks.				

Annex B: Social and Environmental Screening Template

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

Project Information:

Project Information	
1. Project Title	Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs)
2. Project Number	5246
3. Location (Global/Region/Country)	Global

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

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

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

This project enhances the participation in decision-makers across all economic sectors in the target countries. Decision-makers, in turn are responsible for reflecting the needs of those who are most affected by climate change, particularly the vulnerable communities, marginalized individuals and groups. Further, it is expected that community-based organizations, representing the most vulnerable populations are heavily involved in the delivery of some outputs as highlighted in the document. The project promotes the inclusion of these groups in decision-making processes that may impact them (consistent with the non-discrimination and equality human rights principle).

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

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

Comprehensive consideration of gender issues is a pre-requisite for sustainable development and adaptation action. This project mainstreams gender considerations through the following:

- Seek gender-balanced engagement at the ministerial level in stakeholder consultations during project implementation to ensure that the needs and challenges of women, youth, and other marginalized population groups are represented in the NAP processes
- Use Outcome 3 as a key entry point to identify differential needs and adaptation options for men and women participants in the agricultural sector. This gives the opportunity to integrate specific gender-sensitive indicators or sex-disaggregated data in the statistical data analysis and collection systems of the government.
- 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.
- Tracking of gender dimensions of the results through specific project indicators.

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

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

Part B. Identifying and Managing Social and Environmental Risks

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

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

Final Sign Off

Signature	Date	Description
QA Assessor Claudia Ortiz	15/January/15	UNDP staff member responsible for the Project, typically a UNDP Project Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Claudia Ortiz	15/January/15	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	no
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹⁶	no
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	no
5.	Are there measures or mechanisms in place to respond to local community grievances?	no
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on those resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

¹⁶ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing Invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁹ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No

¹⁹ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ²⁰	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No

²⁰ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of Indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

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

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

PROJECT STAFF:

A. Global Project Coordinator - P4 (UNDP recruitment)

The Global Project Coordinator (UNDP) will be primarily responsible for providing high quality technical support, as well as knowledge and capacity development services to partner countries in coordination with UNDP country offices and FAO. S/he will work with UN agencies, governments, inter-governmental organizations, NGO's, donors, and the private sector in accordance with the objective and outcomes of the UNDP project document and in full alignment with UNDP's key results as outlined in the corporate strategy. The Coordinator 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. Responsibilities include:

Technical Guidance

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

Project Leadership

- Supervise, coordinate and lead the ICI-NAPs-Agriculture project team in discharging their duties at an optimum level through ensuring efficient and effective resources planning, budgeting and utilization
- Assist in the inception, contracting and start-up of the project including establishment of indicators, benchmarks and work plans, annual status and financial reports and carry out other Project Board directives;
- identify and source technical expertise and support including assisting with the preparation of TORs, identification and evaluation of experts and reviewing reports;
- Lead efforts to ensure that project activities are integrated and coordinated with the established operations of both UNDP and FAO within their comparative advantage and their areas of work;
- Support UNDP country offices in liaising with national partners on NAP related issues;
- Ensure strategic partnerships to advance NAPs with international organizations, UN Agencies, MDBs, private sector, NGOs, etc, including but not limited to the current partners of the NAP GSPs: GEF, UNFCCC, WHO, GWP, FAO, IFAD, UNITAR, UNISDR, GIZ.

- Ensure overall quality of the project's implementation delivery, monitoring of results and reporting requirements to the donors.
- Ensure that UNDP staff and external audiences are informed and constantly updated of the progress of the UNDP-led NAP Projects.
- Liaise with donors and develop strategic documents for fund mobilization to add to the Trust Fund Project.
- Ensure that UNDP rules and procedures are fully met in the course of the project implementation including procurement
- Coordinate with FAO and partner with relevant stakeholders to formulate technical guidance tools and policy materials, guiding principles, case studies on lessons and good practices and ensure that these are made accessible to all target countries as they commence or advance NAP processes;
- Respond to queries on project progress, implementation and lessons;

B. Technical Specialist for Asia (Nepal, Philippines, Thailand, and Vietnam) – P4 (UNDP recruitment: only 30% of this post is linked to this project)

Given the technical linkages between the UNDP-led support to NAPs, and the support provided by the governance of climate change finance, UNDP will recruit a Climate Change Policy specialist (or Technical Specialist) who will be a full member of a development solutions team on governance of climate change finance team. The incumbent will report to the Climate Change Governance and Development Effectiveness Advisor in the Democratic Governance Practice in the Bangkok Regional Hub (BRH) (who in turn reports primarily to Democratic Governance Practice Team leader) and will work under oversight of UNDP-GEF.

The Technical Specialist will provide substantive technical advice and advocacy regarding Governance and Climate Change Finance in the Asia Pacific region. The incumbent will also provide high-quality technical support, as well as knowledge and capacity development services to target countries supported by the ICI project, in Asia (30% of work plan).

Overall tasks will include supporting development and delivery of country-level projects and the delivery of regional knowledge products and south-south cooperation as part of the projects

Regional Project Support and Policy Advice:

Support the management and technical back-stopping of country level interventions to include:

- Consult with government, DFID, UNDP as well as other stakeholders to finalise modalities for country support in Asia;
- Strengthening baselines and finalise monitoring and evaluation frameworks at the country level;
- Assisting in developing work plans and support national stakeholders in implementing country interventions;
- In selected countries (Thailand, Nepal, Vietnam, and Philippines) support the integration of NAP project activities and Governance of Climate Change Finance activities.

Support Policy Development:

Climate Change is integrated into budget formulation at national and subnational levels:

- Facilitate inter-ministerial dialogue to advance national adaptation planning in the context of existing planning and budgeting processes. This will include providing technical support to countries to identify the scope and direction of the mainstreaming climate into planning and budgeting processes at national and subnational levels;
- Lead on the implementation and strengthening of the Climate Public Expenditure and Institutional Reviews (CPEIR) methodology in selected countries in Asia and Pacific countries;
- Guide and review country activities focused on stock-taking of on-going and completed initiatives of relevance to informing and contributing to the NAP process. The specialist will also work to reactivate and guide national teams (comprising of staff from Ministry of Finance, Planning and Environment) who work on advancing the NAP process at the country level;
- Assist in the organization of country level stakeholder consultations and contribute significantly to CPEIR final report production and launch;
- Conduct and/or review and comment on gap analysis conducted on key institutional and technical capacities to fully embark on medium to long term planning and budgeting for adaptation linked and aligned with national development priorities (conducting capacity assessments to identify technical strengths that should be capitalized on and weaknesses that need to be strengthened) in a select number of countries;
- Provide regional support and direct technical assistance to develop climate finance strategies and policies in Asia and Pacific countries;

- Support the development of specific policy analysis and development tools and guidelines integrating NAP and governance of climate change finance approaches.

Knowledge Management:

Knowledge effectively shared within and across countries as well as with key international policy processes related to climate finance:

- Provide overview and technical expertise in reviewing regional knowledge products which synthesize country analysis produced;
- Contribute and lead on the community of practice on the governance of climate change finance champions which are being identified;
- Develop and support innovative South-South issues which strengthen the governance of climate change finance in Asia and Pacific;
- Facilitate partnerships for South-South and North-South transfer of technical and process-oriented information on experiences, good practices, lessons and examples of relevance to medium to long term national, sectoral, and local plans and planning and budgeting processes;
- Facilitate training in the use of the tools and approaches to advance medium-to-long term adaptation planning and budgeting;
- Evaluate, capture, codify, synthesize lessons and stimulate the uptake of best practices and knowledge, including the development of resource kits and other knowledge materials;
- Identify and source technical expertise and support including assisting with the preparation of ToRs, identification and evaluation of experts and reviewing reports.

Policy Positioning and Representation:

Support institutions to track and report on climate change expenditure as part of the budget process at national and sub-national levels:

- Carry out training on integrating tracking and codification mechanisms for climate change into national systems. (e.g. budget code development, results indicators, expenditure classification etc.);
- Support the identification of options and piloting approaches to integrate climate change expenditures into budget expenditure reporting and tracking systems;
- Provide inputs to training for non-executive institutions and civil society / media with a potential role for promoting accountability for the effective management of climate change;
- Provide policy advisory support to national partners including key Ministries (especially in finance, planning and other relevant line Ministries) and other stakeholders, on the importance of medium to long-term planning and budgeting for adaptation;
- Coordinate with UNDP-GEF Regional Technical Advisors supporting adaptation programming with multiple sources of finance, as well as others both within and outside UNDP on substantive issues of relevance to assisting countries with their NAP process.

Partnerships and Resource Mobilization:

Support overall project management and key partnerships:

- Support UNDP BRH in integrating services around the governance of climate change finance with a particular focus on linking UNDP's National Adaptation Plan programming and Governance of Climate Change finance programming;
- Support the team in liaison with its key donors – DFID and Sweden as well as Germany and the GEF and develop and maintain close linkages with these and other relevant agencies, stakeholders, NGOs, and international organizations partners Support linkages with key International process such as the UNFCCC and other relevant post-2015 related processes;
- Identify further potential sources of support for regional and country level governance of climate change finance programming;
- Lead efforts to ensure that NAP-GSP project activities are integrated and coordinated with the established operations of both UNDP and UNEP within their comparative advantage and their areas of work;
- Support UNDP country offices in liaising with national partners on climate related planning and budgeting including NAP related issues.

C. Global Project Coordinator - P4 (FAO recruitment)

The Global Project Coordinator (FAO) will be contracted by FAO to be responsible for the implementation of the project. He/she will be responsible achieving the project outcomes. The Coordinator 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. Responsibilities include:

Technical Guidance

- Provide technical advice, backstopping and policy guidance to support countries participating in the ICI project to reactivate and update national teams (e.g. working groups created for the NAPAs and/or national development plans) on supporting the NAP process, including identification of a champions and other key stakeholders;
- Guide and review country activities focused on stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process;
- Guide country level consultations to identify the scope and direction of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels;
- Maintain a strategic understanding of, and engagement with, the substantive technical issues, institutions, and processes within the countries served of relevance to the NAP process, including establishing contact with and developing strategic partnerships with other agencies, donors, NGOs, the private sector, and scientific institutions etc. as they relate to advancing key elements of the NAP process;
- Guide the testing and finalization of the "agriculture supplementary" to the Least Developed Country Expert Group (LEG) NAPs guidelines in the context of the UNFCCC process.
- Provide policy advisory support to agricultural ministry partners and other key ministries including finance, planning and other relevant line Ministries) and other stakeholders, on the importance of medium to long-term planning and budgeting for adaptation;
- Support the development of specific policy analysis and development tools and guidance;
- Coordinate with UNDP-GEF Regional Technical Advisors supporting adaptation programming with multiple sources of finance, well as others both within and outside of UNDP, especially in Africa, Asia and Pacific on substantive issues of relevance to NAPs;
- Facilitate partnerships for South-South and North-South transfer of technical and process-orientated information on experiences, good practice, lessons and examples of relevance to medium- to long-term national, sectoral and local plans and planning and budgeting processes;
- Facilitate training in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting in partnership with UNDP;
- Evaluate, capture, codify, synthesize lessons and stimulating the uptake of best practices and knowledge, including the development of case studies, resource kits and other knowledge materials;
- Plan, organize, and participate in knowledge management, communications and outreach activities in collaboration with relevant stakeholders and partners;
- Respond to queries on project progress, impacts and lessons;

Project Leadership

- Supervise, coordinate and lead the ICI-NAPs-Agriculture project team in discharging their duties at an optimum level through ensuring efficient and effective resources planning, budgeting and utilization
- Assist in the inception, contracting and start-up of project including establishment of indicators, benchmarks and work plans, annual status and financial reports and carry out other Project Board directives;
- Identify and source technical expertise and support including assisting with the preparation of TORs, identification and evaluation of experts and reviewing reports;
- Lead efforts to ensure that project activities are integrated and coordinated with the established operations of both UNDP and FAO within their comparative advantage and their areas of work;
- Support FAO country offices in liaising with national and regional partners on NAP related issues;
- Develop and maintain close linkages with relevant agencies, stakeholders, key donors of UNDP, FAO, UNEP-GEF, NGOs, civil society, international organizations, and implementing partners of the project;
- Initiate and seek additional extra-budgetary resources for the scaling up of in country work and to extend the NAPs support to additional countries through this Trust Fund Project;
- Represent FAO in the international climate change meetings including the UNFCCC process and meetings of the Least Developed Country Expert Group (LEG), the Adaptation Committee and its Task Force, the UNDP-UNEP lead Global Support Programme-NAPs and other global initiatives including from the CGIAR system, bi-and multi-lateral initiatives and partnerships;
- Ensure that FAO rules and procedures are fully met in the course of the project implementation including procurement

D. Communication /Knowledge Management /Expert - P3 (FAO recruitment)

A Knowledge Management (KM) Expert will be recruited to be primarily responsible for taking the lead on *Outcome 4: Advocacy and knowledge-sharing on NAPs promoted.*

- Design a Knowledge Management Plan and communication strategy in coherence with overall and country-level workplans (2nd quarter 2015)
- Design Project Feature section on FAO and UNDP-ALM website (1st quarter 2015), including a workspace for country and project staff exchange.
- Take the lead in the design and production of communication materials related to the project: flyers, brochures and comprehensive briefs among others.
- Develop template of an online newsletter for reporting project milestones to be disseminated twice a year or more frequently. Newsletter highlights would include information on the project status implementation in different countries.
- Develop template and ensure country coordinators document country case studies and lesson learned in a consistent, clear and concise fashion
- Develop Multimedia information material (short videos, photo galleries as well as a series of skype video interviews on the topic) in various languages.
- Work with the FAO/UNDP national communication experts to help with national and regional outreach and press releases
- Assist in preparing for events in the context of the UNFCCC process including press conferences, releases
- Design, and feed to social network tools, including Facebook, Linked In groups and twitter;
- Guarantee that the knowledge products developed are disseminated through existing channels fostering discussions and further analysis.

In addition, the KM Expert will support all activities related to the collection, syntheses and dissemination of information related to roadmap development, training, research on adaptation options, and case studies related to the NAP process. These responsibilities include:

- Design inception workshop information booklet and agenda (1st quarter 2015)
- Oversee the development of the Project Document: editing, layout and dissemination (3rd, 4th quarter 2015)
- Develop print, web-based, and video Interviews detailing case studies from Outcome 3

E. NAP Technical Coordinators (support to ministries of agriculture) (8 recruitments by UNDP and 8 recruitments by FAO)

National Adaptation Plan Coordinators will be recruited to provide direct support to ministries of agriculture in each of the 8 target countries. NAP Coordinators are responsible for liaising between ministries of agriculture and the project team. When necessary they will guide the process, capacity building and advocacy work technically and facilitate effective communication between line ministries and relevant individuals and institutions involved and conduct knowledge management and communication activities. Responsibilities include:

- Prepare a work plan with clear timelines, milestones and deliverables
- Review existing (agriculture) sector policies and plans and initiative to technically guide the design and set-up of the NAPs process building on existing policy, institutional and human resources capacities.
- Facilitate outreach meetings (1 per country) between civil service college, ministries and available international and country-level trainers from UNITAR, UNFCCC, Government of Germany, and other organizations (including GIZ 3-day country training on NAPs) to connect public sector experts from relevant ministries and educators to the technical group and available training programs.
- Logistical and organizational support for in-country consultations in their respective countries during Inception in consultation with the project team
- Logistical and organizational support for workshops and training sessions
- Research and logistical assistance for stock-taking exercise
- Lead the formation of technical NAP team comprising of representatives of line ministries, UNFCCC focal points, civil society organisations, educational and research institutions, and other relevant institutions
- Communication for the national media, donor community and project website, social media and regional and international for, and documentation and knowledge management of lessons learnt.
- Coordinate national fund-raising where necessary

F. Programme Assistant - G4 (FAO recruitment)

A Programme Assistant will be recruited to undertake administration of the day-to-day operations of the project, particularly related to missions and the organization of workshops and meetings. Responsibilities include:

- Provide logistical support to the project team and international consultants in organising training events, workshops, and global meetings;
- Assist international, short-term consultants by organising their travel schedules, arranging meetings with different stakeholders, and booking hotel accommodations;
- Draft necessary correspondence with local and international agencies and stakeholders;
- Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenditures from readily available information sources;
- Prepare financial status reports, progress reports and other required financial reports;
- Process all types of payment requests for settlement purpose including quarterly advances to the partners;
- Prepare financial reports and documents as per specified formats, project, or programme plans and general reference documents as well as general administrative/financial or specialised tasks related to the project which may be of a confidential nature within the assigned area of responsibility;
- Assist in the timely issuance of contracts and assurance of other eligible entitlements of the project's personnel, experts, and consultants by preparing annual recruitment plans;
- Provide substantive support to the team for overall implementation

G. Communications and Research Support Consultant- IC (UNDP recruitment)

The Communications and Research Support Consultant will be contracted by UNDP to support the project team in all activities involving the creation of communication and advocacy materials, including annual reports, website update to support project especially Outcome 4, video and photo documentation. The Consultant will work closely with the Knowledge Management Expert; in addition to assisting him/her in his/her tasks, the consultant will provide the following support:

- Design inception workshop information booklet and agenda (1st quarter 2015)
- Work with the project team and country teams to collect best practices and lessons learned related to the NAP process; disseminate through appropriate channels (not exclusive to the NAPs GSP platforms)
- Identify case studies demonstrating the link between building adaptation capacity and reducing vulnerability (i.e. reflecting the overall NAP objectives); develop print, web-based, and video products detailing case studies
- Be responsible for documenting training, meetings and outreach sessions through video and photo, provide summaries and develop web-based and print products detailing meetings
- Provide graphic design and typesetting assistance for printed products such as Project Document, flyers, policy briefs, annual reports.

H. Economist - IC (UNDP recruitment)

An economist will be recruited to support and train technical staff and public service officers supporting agriculture-based livelihood adaptation in key ministries and relevant institutions in economic valuation, including costing, cost-benefit analysis for climate change adaptation options in the agriculture sectors. The consultant will be responsible for designing and delivering training modules on:

- how to collect data and knowledge for impact and vulnerability assessment and adaptation planning;
- methods to understand the medium/longer term vulnerabilities of the agricultural sector;
- methods to analyze climate variability and extreme events for the country and downscale of climate change projections and assessment of climate change impact on crop yields at the national scale (with sub-national disaggregation);
- climate risk analysis (incorporating economic considerations);
- surveys at the household level to assess adaptation options for prioritization;
- methods to estimate the cost and benefits, and budgeting needs, of adaptation specific investment and climate resilient livelihood options;

In addition, the economist will support the project team in the following:

- Skills and capacity assessment (1 per country) of agriculture, forestry and fisheries ministries to determine the number and skillset of trainers needed to train technical experts in the respective ministries other ministries on the medium/longer term vulnerabilities of the agricultural sector to climate change and prioritization of options.
- Development and refinement of training materials based on the knowledge gap and needs identified in Outputs 1.1 and 1.2 including decision tools for prioritizing investment options and low emissions development pathways.

I. Climate scientist -IC (FAO recruitment)

A climate scientist will be hired, as per Outcome 1, to assist in the training of technical staff and public service officers supporting agriculture-based livelihood development in ministries and relevant institutions, including Agriculture, Environment and Planning, Finance, Education, Transport, Housing, Local governments and units responsible for Community Development, and national meteorological institutions in understanding climate risks pertaining to the agricultural sector. Specifically, the consultant will assist in the following:

- Stock-taking of existing initiatives and policies (1 per country) to determine entry points and gaps for integrating climate change adaptation into agriculture-sector planning.
- Facilitate the organization of national NAP orientation sessions (1 per country) bringing together UNFCCC focal points, ministries and representatives of different sectors – planning, finance, agriculture, environment, as well as community-level organizations – to familiarize ministry representatives on NAPs, LEG guidelines, available support, tools, and financing options for mainstreaming adaptation into planning and budgeting, as well as discussion of inter-sectoral convergences and opportunities.
- Support the organization of national consultative dialogues to validate roadmap, involving ministries of agriculture, planning, finance, the environment, as well as civil society organizations, community-based organizations involved in agricultural-based livelihoods.
- Train technical officers in the use of climate modelling tools for assessing climate risks to agricultural sectors and decision-making
- Building of climate change scenarios for agricultural sector adaptation planning
- Designing and putting together training modules on climate science relevant for agricultural sector-based livelihoods
- Supporting individual countries to identify specific climate change impacts and actions towards formulating their NAP roadmaps and to identify relevant adaptation options for testing
- Working with project team to design workplans, provide research support for in-country consultations, national coordination meetings, and global meetings
- Writing and research support for policy briefs and handbook
- Help support the formation of technical groups or communities of practice in each country comprising of NAPs-trained personnel from the Ministries of Agriculture, Finance, Planning, and Environment, and other relevant sectors including national meteorological institutions in each country

J. Planning and budgeting specialist - IC (UNDP recruitment)

A climate change planning and budgeting specialist will be hired to facilitate roadmap design and training on budgeting and planning for climate change adaptation. The consultant will therefore be responsible for supporting the activities of Outcome 2 as well as assist with achievement of Outcome 2.

The consultant will be responsible for training technical staff and public service officers supporting agriculture-based livelihood development in ministries and relevant institutions, including Agriculture, Environment and Planning, Finance, Education, Transport, Housing, Local governments and units responsible for Community Development, and national meteorological institutions in adaptation-sensitive planning and budgeting and the formulation of a NAP roadmap. Specifically, the specialist will provide support for the following:

- Climate scenario building and downscaling of climate change projections including decision tools
- LEG Guidelines for the agricultural sector
- Integrating the economic analysis of adaptation options into sectoral and national planning and budgeting
- Technical aspects of conducting in-country NAPs training
- Budgeting and assessing climate finance possibilities from multilateral, bilateral, and private sector sources of funds.

- Skills and capacity assessment conducted at the institutional level to identify existing capacities and determine opportunities and gaps in understanding on mainstreaming climate change adaptation, including assessment of the number and types of trainers required for conducting training of technical officers at ministry- and sub-national levels. (2nd, 3rd, 4th quarters of the project's first year)
- Working with project team to design workplans, provide research support for in-country consultations, national coordination meetings, and global meetings
- Writing and research support for policy briefs and handbook.

K. Agronomist - IC (FAO recruitment)

An agronomist will be hired to provide technical support for Outcome 3: Testing adaptation options. Outcome 3 involves the development of an impact assessment framework through sectoral and project specific cost-benefit analyses of adaptation options in the agriculture sectors. Support will be given to enable Ministries of Agriculture to systematically learn about the effectiveness of adaptation options that they implement (through an impact assessment framework that is based on quasi experimental design principles) as well as to select adaptation options that have a strong economic foundation.

- Assist ministries in identifying 1-2 ongoing agriculture-based livelihoods projects per target country (8 to 16 projects) to which experimental design-based monitoring framework for climate change adaptation can be applied
- Planning and budgeting of research projects
- Assist with training on cost-benefit analysis and applying experimental design-based monitoring framework for measuring adaptation impacts
- Assist in analysis of 8 sets of case studies of adaptation options tested/analyzed
- Assist in reporting and presentation on results of analyses applied to existing agricultural livelihoods projects
- Support the national updating of the Agriculture Supplement to the LEG guidelines to ensure agriculture concerns are integrated into the national cross sector NAPs process and to also support climate sensitive investment plans for the agriculture sectors.
- Design and conduct global consultations including online surveys and multistakeholder consultations along the UNFCCC meetings and national consultations to refine and peer-review the Agriculture Supplement to the NAPs-LEG guidelines. This also includes considerations for climate sensitive investment plans for the agriculture sectors.
- Provide lead technical assistance in production of handbook on climate change adaptation in agriculture and a summary of decision tools published (based on 8 target countries' experiences).

L. Country Support Specialists - ICs (1 UNDP recruitment, 1 FAO recruitment)

Two country support specialists will be recruited to provide in-country support for the implementation of the project. Country Support Specialists will be responsible for providing targeted technical support for roadmap development, stock-taking, NAPs training, and adaptation pilot projects (Outcomes 1-4).

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

To meet these goals, country support specialists are needed to provide technical training and support roadmap development. Responsibilities include:

- Prepare NAP related reference documents to assist countries with the NAP process; review documents and provide technical feedback
- Identify NAP entry points for countries and draft Terms of Reference for stock-takings, road-maps and other assessments
- Provide technical inputs into NAP materials for technical documents, guidelines, papers, power- points
- Provide research and analytical inputs to support the NAP -GSP in different stages.

- In-country stock-taking of existing institutional mechanisms, planning processes and other initiatives relevant to the NAP process
- The consultant will support countries in developing a draft roadmap of key institutional and multi-sector steps for the short and medium term (at least a 5 year period) for the NAP process relevant to integrating agricultural-sector adaptation concerns into existing national and development plans
- Work with the project team and country teams to collect best practices and lessons learned related to the NAP process; disseminate through appropriate channels (not exclusive to the NAPs GSP platforms) (Outcome 4)

M. Part-time Support to NAP coordinators at Ministries of Agriculture – 8 ICs (UNDP recruitment)

Support officers to National Adaptation Plan Coordinators will be recruited on a needs basis to provide direct support to ministries of agriculture in each of the 8 target countries. Support officers will assist NAP Coordinators in organizing meetings and training sessions, conducting data analysis and research, liaising between ministries and the project team where necessary and facilitating effective communication between line ministries and relevant individuals and institutions involved. Responsibilities include:

- Logistical assistance at including national coordination meetings, training workshops and outreach meetings between civil service college, ministries and available international and country-level trainers from UNITAR, UNFCCC, Government of Germany, and other organizations (including GIZ 3-day country training on NAPs) to connect public sector experts from relevant ministries and educators to the technical group and available training programs (bookings for participant travel, meeting venue, accommodation, transportation, etc) ->1 per country.
- Where relevant, supervise on-the-ground research projects, conduct data collection and analysis to support NAP coordinators and project team
- Provide administrative and data collection assistance for stock-taking exercise, such as collation of key documents, communication with relevant institutions, literature review and documentary analysis and record-keeping.

AGREEMENT BETWEEN
THE GOVERNMENT OF GERMANY (DONOR)
AND
THE UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)
REGARDING CONTRIBUTION
TO THE
THEMATIC TRUST FUND FOR SUPPORT TO
ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT

1. Pursuant to the Terms of Reference of the UNDP Thematic Trust Fund for Support to Energy and Environment for Sustainable Development established by the Administrator of the UNDP on 14 October 2004, and which Terms of Reference are attached to this Agreement as Annex 1, the Donor is making available a contribution (the "Contribution") of EUR 10,000,000 (Ten Million Euros) to be administered by UNDP in accordance with UNDP Regulations and Rules in line with the terms and conditions set out in the Terms of Reference of the above mentioned UNDP Thematic Trust Fund for Support to Energy and Environment for Sustainable Development.
2. The Contribution is intended to contribute to UNDP's multi-donor Global Support to developing countries to integrate the agricultural sectors into National Adaptation Plans (NAPs) process in *Kenya, Uganda, Zambia, Thailand, Nepal, Philippines, Vietnam, Uruguay, and two additional countries in Latin America and the Caribbean region* (to be determined in consultation with the Donor). The UNDP-led initiative, which will also involve FAO will provide technical assistance to the targeted countries to integrate climate change aspects for the agriculture sectors based livelihoods within their existing national planning and budgeting processes. The project will enhance understanding of the targeted countries on what it takes to address climate change impacts and integrate agriculture sectors' concerns into their national planning and budgeting process and in line with existing UNFCCC endorsed framework for NAPs. This project responds to FCCC/SBI/2013/L.10/Add.1 and FCCC/SBI/2014/L.19 inviting UN Agencies to enhance and continue its work supporting developing countries with their NAP process. It is also consistent with SBSTA/2014/L.14. The support provided to countries will harvest lessons from UNDP's and FAO's work on adaptation practices, analytical work on assessing economic benefits of adaptation options and monitoring and reporting on evidence based results. Ultimately, the project will contribute to (i) the national adaptation agenda setting in particular regarding the agriculture sectors and other sectors; and (ii) enhance regional and global dialogue and cooperation on scaling up adaptation action while integrating it into national budget and accessing international climate finance.
3. The Donor shall, in accordance with the schedule of payments set out below, contribute to UNDP the amount of EUR 10,000,000 (Ten Million Euros). The contribution shall be deposited in the following bank account according to the schedule that follows:

UNDP Euro Contributions Bank Account
 Account 6008-62722022
 SWIFT/ABA: BOFAGB22
 IBAN: GB99BOFA16505062722022
 Bank Code 00007
 Acct Code 1002
 Bank of America - London
 5 Canada Square
 London E14 5 AQ
 United Kingdom
 Reference: E&E TTT for NAP Support focused on the Agriculture Sector

<u>Schedule of Payments</u>	<u>Amount</u>
Upon signature	EUR 10,000,000


The Donor will inform UNDP when the contribution is paid via an e-mail message with remittance information to contributions@undp.org, providing the following information: donor's name, UNDP country office, (Project no. and title), donor reference (if available). This information should also be included in the bank remittance advice when funds are remitted to UNDP.

4. In accordance with the decisions and directives of UNDP's Executive Board reflected in its Policy on Cost Recovery from Other Resources, the Contribution shall be subject to cost recovery for indirect costs incurred by UNDP headquarters and country office structures in providing General Management Support (GMS) services. To cover these GMS costs, the contribution shall be charged a fee equal to 8%. Furthermore, as long as they are unequivocally linked to the specific programme/project(s), all direct costs of implementation, including the costs of executing entity or implementing partner, will be identified in the programme/project budget against a relevant budget line and borne by the programme/project accordingly.
5. The Contribution shall be used exclusively for the purposes for which it is intended as stated in Section 2 above.
6. UNDP headquarters and country office shall provide to the Donor all or parts of the following reports prepared in accordance with UNDP accounting and reporting procedures:
 - a) From the UNDP/GEF Trust Fund Unit an annual status report of programme/project progress for the duration of the Agreement, as well as the latest available approved budget.
 - b) From UNDP Bureau of Management/Office of Finance and Administration, an annual certified financial statement as of 31 December every year to be submitted no later than 30 June of the following year.

- c) From UNDP/OEF Trust Fund Unit within six months after the date of completion or termination of the Agreement, a final report summarizing programme/project activities and impact of activities as well as provisional financial data.
7. In accordance with paragraph VI of the Terms of Reference of the UNDP Trust Fund for Support to Energy and Environment for Sustainable Development, the contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP. Should the annual Audit Report of the Board of Auditors of UNDP to its governing body contain observations relevant to the UNDP Trust Fund for Support to Energy and Environment for Sustainable Development, such information shall be made available to the Donor.
 8. After consultations have taken place between the Donor and UNDP and provided that the payments already received are, together with other co-mingled funds available to the programme/project, sufficient to meet all commitments and liabilities incurred in the execution/implementation of the programme/project, this Agreement may be terminated by UNDP or by the Donor. The Agreement shall cease to be in force 30 (thirty) days after either of the Parties have given notice in writing to the other Party of its decision to terminate the Agreement.
 9. All UNDP programmes and projects, including the UNDP Trust Fund for Support to Energy and Environment for Sustainable Development, are evaluated in accordance with UNDP Evaluation Policy. UNDP and the relevant stakeholders, including the Donor, will jointly agree on the purpose, use, timing, financing mechanisms and terms of reference for evaluating the UNDP Trust Fund for Support to Energy and Environment for Sustainable Development. UNDP shall commission the evaluation, and the evaluation exercise shall be carried out by external independent evaluators. Unless evaluations of the Trust Fund for Support to Energy and Environment for Sustainable Development are conducted at reasonable intervals by UNDP in accordance with these provisions, the Donor shall have the right to request or initiate an interim or final evaluation of the Trust Fund for Support to Energy and Environment for Sustainable Development. The cost of such evaluation shall be borne by the Donor, in consultation with UNDP and to be carried out in accordance with UNDP Evaluation Policy.
 10. Notwithstanding termination of all or part of this Agreement, UNDP shall continue to hold, unutilized payments until all commitments and liabilities incurred in the execution/implementation of all or the part of the programme/project, for which this Agreement has been terminated, have been satisfied and programme/project activities brought to an orderly conclusion.
 11. Any payments that remain unexpended after such commitments and liabilities have been satisfied shall be disposed of by UNDP in consultation with the Donor.
 12. The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of, this Agreement or the breach, termination or invalidity thereof.

- 13. This Agreement may be amended through a formal written Amendment signed by the Donor and UNDP. The Amendment shall become an integral part of this Agreement.
- 14. This Agreement shall enter into force upon signature and deposit by the Donor of the first payment to be made in accordance with the schedule of payments set out in Article 3 of this Agreement.

For the
Government of Germany:

N.P.  5-12-14
 Norbert Gorßen
 Head of Division
 International Climate Finance, International
 Climate Initiative,
 Federal Ministry for the Environment,
 Nature Conservation, Building and Nuclear
 Safety BMUB

5-12-14
 Date

For the United Nations
Development Programme:


 Maged Martínez-Solís
 Director
 Bureau for Policy and Programme Support
 United Nations Development Programme

04/12/2014
 Date

ANNEX 1**UNDP THEMATIC TRUST FUND FOR SUPPORT TO ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT****Terms of Reference**

1. The Administrator hereby establishes a Trust Fund (hereinafter referred to as "the Fund") under the financial regulations and rules of UNDP for the receipt and administration of the funds to mobilize additional resources needed to enhance UNDP programme activities related to Energy and Environment as outlined in the attached concept paper on the thematic trust fund on Energy and Environment for Sustainable Development. This Fund shall replace the two existing funds for Energy and Environment. Existing and new contributions made to the "Energy" TTF shall be consolidated and management transferred according to the new Energy and Environment structure.

2. Financial resources pledged will be managed by the Fund under the authority of the Administrator. Activities financed by the Fund shall be carried out within these terms of reference.

3. UNDP will designate an Executing Agency (hereinafter referred to as "the Executing Agency") for the implementation of each activity financed under the Trust Fund.

1. Contributions to the Fund

1. Contributions to the Fund, in cash or in kind, may be accepted by UNDP from Governments of Member States of the United Nations, of the Specialized Agencies or from intergovernmental or non-governmental organizations, or from private sources.

2. Contributions to the Fund may be made in any one or more of the following forms:

- a) As voluntary contributions without limitation to a specific project or projects;
- b) As contributions to specific service line(s) as outlined in the framework document on the Thematic Trust Fund on Energy and Environment;
- c) As contributions for a country/region/project.

3. Contributions in cash to the Fund may be accepted by the Administrator in fully convertible currency or in any other currency which the Administrator determines can be readily utilized. Such contributions shall be deposited into bank accounts designated by UNDP.

4. The value of a contribution-payment, if made in other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the contribution-payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in

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2. Financial resources pledged will be managed by the Fund under the authority of the Administrator. Activities financed by the Fund shall be carried out within these terms of reference.
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2. Contributions to the Fund may be made in any one or more of the following forms:
 - a) As voluntary contributions without limitation to a specific project or projects;
 - b) As contributions to specific service line(s) as outlined in the framework document on the Thematic Trust Fund on Energy and Environment;
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4. The value of a contribution-payment, if made in other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the contribution-payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in

such a case, a loss of the value of the balance of funds is recorded, the UNDP shall inform the Donor with a view to determining whether any further financing could be provided by the Donor. Should such further financing not be available, the assistance to be provided pursuant to this Agreement may be reduced, suspended or terminated by the UNDP.

5. All financial accounts and statements shall be expressed in United States dollars.

II. Utilization of the Fund

1. UNDP shall utilize the Fund for the purpose of meeting the costs of the projects as approved by UNDP under these terms of reference. Details of such projects, including the respective project budgets, shall be as set out in the relevant project documents.

2. The Fund will be charged, in accordance with decisions and directives of the UNDP Executive Board, for (a) five (5) per cent for administration of the Fund, (b) reimbursement of support services provided by the Executing Agency, or the Implementing Agency, (c) UNDP support services provided to the Executing Agency or the Implementing Agency.

3. Any interest income derived from contributions to the Fund shall be credited to the Fund in accordance with the applicable UNDP regulations, rules and directives.

III. Administration of the Fund

1. The Fund shall be administered by the UNDP in accordance with the applicable UNDP regulations, rules and directives.

2. Project management and expenditures shall be governed by the regulations, rules and directives of the UNDP and, where applicable, the regulations, rules and directives of the executing agencies.

IV. Implementation and Budgeting of Funds

1. The aggregate of the amounts budgeted for the projects together with any estimated payments in respect of support services shall not exceed the total resources available to the Fund.

2. If unforeseen increases in commitments or expenditures are expected or realized (whether due to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), the assistance to be provided under the Fund may be reduced, suspended or terminated by UNDP.

V. Ownership of Equipment, Supplies and Other Property

Ownership of equipment, supplies and other property financed from the Fund shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with applicable policies and procedures of UNDP.

VI. Audit

The Fund shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.

VII. Reporting

1. The Administrator shall report to the UNDP Executive Board on the activities of the Fund.
2. The Administrator shall also provide to the UNDP Executive Board an annual report prepared in accordance with UNDP accounting and reporting procedures, which report shall provide information on income and expenditure incurred during the previous year.
3. The Administrator shall also provide Donor reports on the income and expenditure of its contribution if made for a specific country, group of countries or region.

VIII. Other matters

1. Notwithstanding the completion of the projects financed from the Fund, any unutilized balances shall continue to be held in the Fund account until all commitments and liabilities incurred in implementation of the projects have been satisfied and project activities have been brought to an orderly conclusion.
2. The Fund shall terminate upon completion of all projects identified pursuant to this Agreement and after satisfaction of all commitments and liabilities arising therefrom. Any balance then remaining shall be disposed of by the UNDP in consultation with the Donor(s).


Associate Administrator

Date: 14/10/14