



United Nations Development Programme

Country: Global

PROJECT DOCUMENT

Project Title: Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)

UNDAF Outcomes:

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

Promote Climate Change Adaptation.

UNDP Strategic Plan Secondary Outcome: Other

Expected CP Outcome(s):

- National capacities are strengthened to mainstream climate change policies into national development plans (BDP Outcome 62)
- Policies and institutional capacities at national and decentralised levels strengthened to realise low carbon and climate resilient human development
- Sustainable management of environment enhanced at decentralised levels to increase livelihoods resilience in a changing climate

Expected CPAP Output (s)

- Institutional Plans developed to implement environmental management initiatives at decentralised levels that increase ecosystem benefits for sustainable livelihoods

Executing Entity/Implementing Partner: UNDP

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Brief Description

Climate change and associated climate variability will severely impact future development trajectories and thus pose a serious challenge to multi-dimensional poverty reduction efforts around the globe. These challenges and impacts are expected to be severe in Least Developed Countries (LDCs). Most LDCs have made some progress towards addressing the urgent and immediate effects of climate change through the development of National Adaptation Programme of Actions, as well as through progress on poverty reduction and Millennium Development Goal gains over the last decade. In the context of climate change, these countries now need to consider medium- to long-term planning within the framework of national priorities for low emissions and climate resilient development so as to align and sustain growth and poverty reduction. The National Adaptation Plan (NAP) process is one of several processes established to address this need.

Parties have established that the NAP process is to be country-driven, continuous, participatory, progressive and iterative. The process will enable LDCs to identify, finance and implement appropriate medium- to long-term adaptation needs, and to balance sectoral and cross-sectoral priorities, at national, sub-national and local levels. Importantly, the medium- to long-term adaptation planning underpinning the NAPs should be multi-stakeholder oriented, and based on and guided by the best available science, rigorous collection and analysis of appropriate data, and consideration of experiences and good practices within, and outside, countries. At present, LDCs are implementing urgent and immediate adaptation needs, with most focusing on sector specific interventions. LDCs do not have access to well-organised knowledge to inform climate resilient planning processes, and the required medium- to long-term and cross-sectoral planning is seldom undertaken. LDCs do not have the required institutional structures and technical capacity for initiating a functional, cross-sectoral and iterative NAP process. A request was consequently made at the Durban COP-17 for United Nations agencies to consider support mechanisms to assist LDCs to advance their NAP processes. The preferred solution is to strengthen appropriate existing institutional frameworks, technical expertise, managerial capacity and decision-making processes within LDCs to facilitate the NAP process. This UNDP-UNEP programme, financed by the LDCF, will consequently establish a support mechanism around three main pillars: institutional support, technical support and knowledge brokering. The goal of this programme is to support LDCs to commence a process of integrating medium- to long-term planning for adaptation to climate change within, or aligned with, current development planning and budgeting processes. This will ensure that a successful NAP is not a stand-alone document, but will lead to the integration of adaptation into the existing mainstream development and poverty reduction plans and budgets of a particular country. The programme will strengthen institutional and technical capacities in all LDCs for iterative development of comprehensive NAPs that are country-driven, and based on existing national development priorities and strategies and processes. The programme goal and objective will be achieved by: i) developing operational and flexible NAP papers and implementing training to advance medium- to long-term adaptation planning processes in the context of LDC national development strategies; ii) making tools and approaches available to LDCs to support key steps in the NAP process; and iii) exchanging lessons learned and knowledge through South-South and North-South Cooperation.

Agreed by UNDP-APRC (Bangkok):

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LIST OF ACRONYMS

AAKNet	Africa Adaptation Knowledge Network
AC	Adaptation Committee
AF	Adaptation Fund
ALM	Adaptation Learning Mechanism
APAN	Asia-Pacific Adaptation Network
APR	Annual Project Review
ASAP	Adaptation for Smallholder Agriculture
AWG-LCA	<i>Ad Hoc</i> Working Group on Long-term Cooperative Action
AWP	Annual Work Plan
CAF	Cancun Adaptation Framework
CBD	Convention on Biological Diversity
CCA	Common Country Assessment
CIF	Climate Investment Fund
CO	Country Office
COP	Conference of the Parties
CP	Country Programme
CPAP	Country Programme Action Plan
CPEIR	Climate Public Expenditure Institutional Reviews
DEPI	Division of Environmental Policy Implementation
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
GSP	Global Support Programme
IA	Implementing Agency
IFAD	International Fund for Agricultural Development
IUCN	International Union for Conservation of Nature
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NC	National Communication
NCSA	National Capacity Self-Assessment
PB	Project Board
PIR	Project Implementation Review
PPCR	Pilot Programme for Climate Resilience
RCU	Regional Coordination Unit
SBI	Subsidiary Body for Implementation
SCCF	Special Climate Change Fund
TNA	Technology Needs Assessment

TSU	Technical Support Unit
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
USAID	United States Agency for International Development
WHO	World Health Organisation

1. SITUATION ANALYSIS

1.1. The global context

1. Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. Increasing temperatures, altered rainfall regimes, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health¹. These impacts are expected to become more severe over the ensuing decades. The ability to manage climate change risks and adapt to climate change impacts has far-reaching implications for sustainable development in most countries, but especially in Least Developed Countries (LDCs). LDCs are poorly equipped for managing climate change risks due to a variety of factors including, but not limited to, their limited financial and technical capacities to plan for and adapt to unfolding and emerging climate change impacts. Without the ability to manage medium to long-term climate change risks and opportunities, climate change impacts will undo years of progress on advancement towards the Millennium Development Goals (MDG)² and economic growth prospects.
2. Given the above, there is an urgent need to address the vulnerability of LDCs, and to build their capacity to adapt to climate change impacts. This can be done by implementing interventions that lead to appropriate behavioural changes and adoption of soft- and hard technologies, by introducing climate information and early warning systems, and by improving management strategies. Importantly, these interventions need to be implemented within the context of sustainable development, at both global and national scales.
3. To this end, at the seventh session of the Conference of the Parties (COP-7) to the United Nations Framework Convention on Climate Change (UNFCCC), the decision was made to develop National Adaptation Programmes of Action (NAPAs) for climate change adaptation in LDCs³. The NAPAs were to establish urgent and immediate priority needs for adaptation in LDCs, and were to focus on the immediate term⁴. The Least Developed Country Fund (LDCF) was initially established to facilitate the preparation of NAPAs, and was later mandated by the COP to support the implementation of priorities identified through the NAPAs.
4. Subsequent to the establishment of the NAPA framework, LDCs have started to take action to promote urgent and immediate climate change adaptation needs that are aligned with their respective national priorities and strategies. These include building: i) institutional capacities for establishing multi-stakeholder, transparent processes in which cross-sectoral adaptation needs and actions are identified, vetted and assessed; and ii) technical capacities for assessing on-going and future sources of vulnerability, and identifying corresponding adaptation actions. To date, 47 NAPAs have been submitted to the UNFCCC. By 2012, 133 projects emanating from NAPAs had been either approved or endorsed by the Global Environment Facility (GEF) Chief Executive Officer, and/or are in various stages of the LDCF project cycle⁵. Financing of more than \$0.5 billion has been mobilised to the LDCF to support LDCs with implementation of their urgent and immediate adaptation needs. Additional financing has also been obtained from the Special Climate Change Fund (SCCF), the Adaptation Fund (AF), the Climate Investment Fund (CIF)'s Pilot Programme for Climate Resilience (PPCR), and through bi-lateral channels⁶.

¹ Intergovernmental Panel on Climate Change. 2007. *Fourth Assessment Report: Climate Change*.

² United Nations. 2007. *The Millennium Development Goals Report*.

³ Decision 5/CP.7

⁴ LDC Expert Group. 2011. *Best Practices and Lessons Learned in Addressing Adaptation in the Least Developed Countries through the National Adaptation Programmes of Action, Volume 1*.

⁵ GEF/LDCF.SCCF.13/04

⁶ Especially from the Governments of Australia (in the Pacific and Asia), Japan (for Africa), Germany (for select countries in Africa and Asia) and Denmark (for Africa).

5. While progress has been made to address immediate and urgent climate change impacts through the NAPA process, climate change planning has yet to systematically address longer-term adaptation needs. Consequently, a process was initiated at COP-16 (Cancun) to enable LDCs to formulate and implement National Adaptation Plans (NAPs)⁷.
6. At COP-17 (Durban), Parties established the NAPs' objectives, namely: i) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and ii) to facilitate the integration of climate change adaptation in a coherent manner into new and existing policies, programmes and activities. The objectives pertain particularly to development planning, processes and strategies within all relevant sectors and at different levels, as appropriate⁸.
7. In Durban, Parties also adopted initial guidelines and principles, including invitations to relevant organisations to submit information on their support of the NAP process, and to consider the establishment of support programmes within their mandates. The COP also requested that the Least Developed Countries Expert Group (LEG) provide technical guidance to the NAP process. This process was to be aligned with the principles established in the Cancun Adaptation Framework (CAF)⁹, and based on LDCs' experiences with NAPAs. Moreover, GEF and United Nations agencies were requested by the Durban Decision to establish programmes to provide financial, institutional and technical support to LDCs for facilitating the development of NAPs.
8. At COP-18 (Doha), Parties provided further guidance to the GEF on financing the NAP process for LDCs using LDCF resources. Following on from decisions made at COP-17, UN organisations, specialised agencies and others were invited to continue in assisting developing countries with obtaining access to financial and technical support, including the establishment (or enhancement) of support programmes for advancing the NAP process.
9. Parties to the UNFCCC have defined the NAP as a "continuous, progressive and iterative"¹⁰ process to enable LDCs to identify, implement and communicate their vulnerabilities and adaptation action at the national, sectoral and local levels, as well as within the international, multi-lateral process of the Convention. The key principles guiding the NAP process are that NAPs should be:
 - i) Participatory, country-owned, country-driven and fully transparent;
 - ii) Multidisciplinary, leading to integration of adaptation into development;
 - iii) Complementary to existing plans, programmes and mechanisms;
 - iv) Oriented towards sustainable development;
 - v) Guided by sound environmental management;
 - vi) Guided by gender-sensitive approaches;
 - vii) Considerate of vulnerable groups, communities and ecosystems;
 - viii) Guided by best available science;
 - ix) Cost-effective in the wider context of sustainable development; and
 - x) Iterative, flexible, dynamic and continuous with clearly set time frames¹¹.
10. Submissions made to the UNFCCC in 2012 indicated that LDCs lack institutions, capacity and relevant knowledge to inform medium- to long-term climate resilient planning. The submissions further indicated that the NAP process requires urgent attention and up-scaling in the light of current and emerging climate change effects. These submissions called for a **dedicated process for activities to enable the formulation of NAPs** – including for the building of national institutional capacity – and declared that the establishment of necessary arrangements to undertake NAP activities needs to be accelerated¹². Such activities are to be based on on-going processes at the national level, and connected with development planning and existing adaptation initiatives. This

⁷ This culminated in Decision 5/CP.17

⁸ FCCC/CP/20110/97/Add.1

⁹ Adopted at COP-16 (Cancun, 2010)

¹⁰ From the submission by the United States of America

¹¹ FCCC/SBI/2011/12

¹² FCCC/SBI/2012/8

LDCF project (hereafter referred to as the project) is a response to this call for a dedicated process to support the formulation of NAPs¹³. The primary problem that the project will address is that **LDCs do not presently have the required institutional structures, knowledge and technical capacity for initiating a functional, cross-sectoral and iterative NAP process.**

11. LDCs have indicated¹⁴ that whether considering urgent and immediate adaptation needs, or medium- to long-term planning for adaptation, the overall objective of adaptation action remains the same, *viz.* reducing vulnerability to the impacts of climate change by minimising, reducing or avoiding risks and enhancing the capacity to adapt to climate change. Medium- to long-term planning for adaptation provides a greater opportunity to address those elements related to adaptive capacity, including those related to capacity building and development planning. Because of its, medium- to long-term adaptation planning needs to be fully integrated into relevant policy and planning processes. The analysis of the NAPA preparation and implementation shows that NAPAs provide a good starting point for medium- to long-term adaptation, and that the NAP does not replace the need to address the urgent and immediate needs and concerns of the LDCs relating to adaptation to the adverse effects of climate change.
12. While in many countries the NAPA formulation process established a multi-stakeholder platform for discussing climate change adaptation – often for the first time in the country – the resultant NAPA priorities and implementation projects are typically sector-specific. Integrated sectoral impacts of climate change as well as adaptation were not systematically considered. While NAPAs will continue to serve as important national policy tools that articulate adaptation needs, the NAP process will allow additional support to LDCs to specifically bolster their medium- to long-term adaptation planning capacity within existing national planning process at the national, sectoral and local level. In some LDCs, other bilateral and multi-lateral support (e.g. countries belonging to the CIF's PPCR, and those receiving support from the SCCF, the AF and the LDCF) has provided an opportunity to tackle systemic needs in the medium- to long-term, but this has benefited only a few.
13. A medium- to long-term adaptation planning process requires that LDCs build on the lessons learned from many past and current efforts – including the recently completed NAPA process – in several respects, notably institutionally, technically, strategically and operationally. Most importantly, institutional arrangements for this process need to **facilitate comprehensive and iterative reviews of medium- to long-term climate change vulnerabilities and integrated climate-sensitive development needs**¹⁵. These assessments also need to integrate with existing national development planning processes, rather than being stand-alone, one-off exercises. In this way, adaptation needs are more likely to become integrated into national, sectoral and local (i.e. community-level) development strategies. This will facilitate: i) appropriate planning, budgeting and financing of the interventions; ii) establishment of mechanisms for iterative and continuous monitoring and review of the interventions; and iii) the capturing and dissemination of lessons learned, *inter alia* to update and further refine and strengthen the NAP process.
14. To achieve effective medium- to long-term adaptation planning and implementation, numerous factors will need to be considered, and numerous interventions will be required. These include *inter alia*:
 - 1) Enhancing capacity for cross-sectoral planning within countries. Importantly, a wide range of national ministries will need to assess climate vulnerability, and the potential economic, social and environmental costs and benefits of adaptation, including cross-sectoral implications of impacts and adaptation measures, as part of their sectoral planning and decision-making processes.
 - 2) Adaptation interventions will need to be included in appropriate national, sectoral and local budgets, reflecting the needs of all stakeholders from communities in marginal areas to those at the national level.
 - 3) Execution of the interventions will require effective monitoring and evaluation at the community, sectoral and national levels, with results being fed back into the planning process.
 - 4) Technical

¹³ Specific support needs were outlined at the 22nd meeting of the LEG, as summarised by the Subsidiary Body for Implementation (FCCC/SBI/2012/27)

¹⁴FCCC/TP/2011/7

¹⁵ FCCC/SBI/2011/11

information on climate science, climate expenditures and the economics of adaptation, poverty, gender and equity, including on-the-ground results and experiences from relevant 'business-as-usual' development initiatives¹⁶, will need to be assessed and used to inform decision-making for NAPs. 5) Information gaps will need to be identified and addressed, especially regarding the most appropriate national, sectoral and local processes for advancing climate change adaptation planning. 6) Financing requirements will need to be identified for advancing adaptation, as well as establishing partnerships with national, regional and global institutions. 7) Modalities and means of informing all relevant interested partners on progress with the NAP process will need to be identified.

15. Importantly, a country-driven approach will be necessary to develop the requisite capacity for advancing medium- to long-term adaptation planning in LDCs. This will depend on the national circumstances in each LDC in terms of *inter alia*: i) public sector processes for planning, budgeting, and financing development priorities; ii) existing institutional and technical capacities at the national, sectoral and local level; and iii) support already extended by bi- and multi-lateral initiatives to support climate resilient development at the national, sectoral and local level.

1.2. Threats and root causes

16. While progress towards adaptation planning in LDCs is limited, there are some examples of the successful integration of climate change adaptation into national planning. For example, Bangladesh has integrated climate adaptation into its five year plan and prospective plan, and is putting in place reforms to institutionalise this process within its Planning Commission. Nepal has taken steps for its Periodic Plan to include climate issues, and sub-national plans are being complemented with Local Adaptation Plans and Actions. Lesotho has integrated a climate change chapter into its National Strategic Development Plan, and other countries have made similar levels of progress. The challenge is to scale up these efforts across all LDCs and institutionalise them so that they become a common feature of effective planning and budgeting. At present, effective medium- to long-term adaptation planning is not being fully undertaken in LDCs, primarily because of a lack of appropriate institutional structures and processes, and insufficient technical capacity and financial resources. Effects of these shortfalls in institutional and technical capacity include: i) climate change adaptation is not integrated into relevant new and existing policies and strategies; ii) existing medium- to long-term planning processes do not take climate change impacts into account; iii) lessons learned from adaptation initiatives within and outside LDCs¹⁷ are rarely incorporated into planning processes; and iv) on-going and institutionalised processes such as National Communications (NCs), Technology Needs Assessments (TNAs) and NAPAs are seldom used as platforms for mainstreaming climate change into medium- to long-term planning processes. Further threats to achieving effective adaptation planning and root causes underlying existing shortfalls in institutional and technical capacity are described below.

17. **The multi-faceted and complex nature of climate change impacts.** Where medium- to long-term planning processes do exist, they seldom holistically consider the multiple risks and stresses impacting human, social, physical, natural and financial capital, or take cognisance of how livelihood options and development plans may change in response to stresses associated with climate change. In part, this is because of political economy considerations, such as when the specific responsibilities of states, markets, and civil societies are not effectively understood within the context of their respective capacities as potential agents of change. Power relations and the institutional and political factors that either drive or hinder the enabling environment for climate resilient development are not examined closely and, therefore, not leveraged to bring about the necessary change. As a result, the current design of development investments tends to be sector-specific, with focus on narrow and short-term objectives. As a number of key sectors such as agriculture, water, and health are large, responses tend to be dominated by narrow and short-term goals, with limited efforts and investments made to establish cross-sectoral links or to adopt longer-term planning frameworks in order to leverage their capacity for climate change adaptation.

¹⁶ These include NCs, NAPAs, TNAs, NCSAs and initiatives financed by the LDCF, the SCCF, the AF and bilateral resources.

¹⁷ *Inter alia* via LEG surveys, the Adaptation Committee, and other existing networks and expertise.

18. **Short-term and non-integrated political planning.** Political planning and strategy frameworks within developing countries often have a short-term focus on immediate economic growth. In order to garner votes, electoral promises tend to focus on immediate economic issues. Climate change adaptation is seen as being irreconcilable with economic development and poverty reduction; as a result, climate change adaptation is not considered as a proximate political issue. The role that climate change adaptation can play in development and poverty reduction is ignored, and it is consequently not included into political planning and strategy.
19. **Budget shortfalls.** Budgetary allocations in LDCs seldom make adequate provision for adaptation planning in the medium- to long-term. In particular, cross-sectoral climate change impacts are not taken into account as budget planning is done largely in isolation within line ministries and not brought together within central planning, budgeting and public financing entities. This has considerable adverse implications for adaptation, particularly when considering that: i) current service delivery in crucial sectors such as water provision, health care and housing is already poor; and ii) the quality of service delivery is likely to deteriorate further as a result of the pressures of climate change.
20. **Staff turnover.** Many LDCs experience a high turnover of government personnel. This is a result of various factors, including *inter alia* high wage differentials between the public and private sector. This situation leads to a loss of institutional memory, including the loss of data needed for climate scenarios, reduced transfer of technical skills from older to younger staff, and a lack of continuity in government planning processes.
21. **Natural resource degradation.** Most LDCs have undergone severe land degradation as a result of unsustainable activities such as deforestation and unsuitable agricultural practices. This affects food security and livelihoods of local communities through the reduction of agricultural productivity, rendering these communities particularly vulnerable to anticipated climate change impacts. The degradation of natural resources also results in institutions responding to immediate problems and concerns of communities, rather than undertaking methodical medium- to long-term planning. The institutions serving such communities tend to be in a state of perpetual short-term crisis management, dealing with pressing concerns such as droughts, floods, poor agricultural practices, inadequate healthcare and a plethora of other equally pressing challenges.
22. **Poverty.** Widespread poverty in LDCs prevents local communities from investing in appropriate adaptation technologies and infrastructure. It also prevents communities from investing time and resources in appropriate institutional structures for planning and implementing such technologies.
23. **Poor education.** Education levels in LDCs are generally low, especially with regard to secondary and tertiary education. There is consequently a lack of appropriately trained staff for meeting sectoral demands for employment, particularly with regard to technical fields. Technical capacity for the planning and implementing of new fields such as climate change adaptation is particularly constrained. Further, the linkages to social and gender issues and the distinguished impacts of climate change on different segments of society are often times poorly understood.
24. In summary, the ability of LDCs to adapt to expected climate change impacts over the medium- to long-term is very limited. Weak institutions, a lack of technical capacity and insufficient knowledge – especially concerning climate change and appropriate adaptation measures that respond to the different needs and vulnerabilities of all segments and social groups of society – presently result in medium- to long-term planning that does not take climate change effects into consideration.

1.3. Long-term solution and barriers to achieving the solution

25. The preferred solution for addressing the problem of insufficient institutional and technical capacity to undertake medium- to long-term adaptation planning is to **develop appropriate institutional frameworks, technical expertise, managerial capacity and decision-making processes for managing climate change risks within LDCs.** Such expertise will enable climate change to be

taken into account in a coherent, aligned and structured manner within relevant new and existing development policies and programmes. This can result in climate-resilient sustainable development progressing in a pro-development, pro-poor and cost-effective manner. Such a process will require the involvement and commitment of decision-makers at national, sectoral and local levels.

26. **Cooperation between different sectors** will be required to achieve the preferred solution, and to preclude negative unintended consequences from adaptation interventions and policies. Partnerships between: i) different levels of government within countries; ii) governments of countries sharing common interests; iii) the academic community and civil society ; iv) technical experts; v) the private sector; and v) local communities and marginalised people ought to be capitalised on to foster increased clarity and efficiency, to resolve conflicts/trade-offs, and to avoid redundancy. This will allow countries to leverage capacity that is already present and/or that is being supported by other initiatives, and will ensure coordination with other sectors and levels under a common framework. This enhanced cross-sectoral coordination – that takes political-economic considerations into account and strengthens medium- to long-term adaptation planning – will need to occur within the context of national development strategies. This will ensure that: i) all adaptation planning is built on existing networks and expertise within countries; ii) duplication of processes is avoided; and iii) appropriate knowledge and lessons learned are captured to inform future decision-making.
27. To achieve the preferred solution, existing **decision-making systems will also need to be tailored** to inform and guide adaptation policy, planning, budgeting and financing to achieve economic, environmental and social gains. Such processes will need to be more comprehensive than those used during the development of NAPAs, with wider participation of relevant stakeholders. The affected national, sectoral and local authorities (e.g. states, government ministries, provinces, municipalities and communities) will need to actively incorporate climate change considerations into day-to-day business, and introduce climate resilient policies, regulations and incentives to advance climate change adaptation at all scales. The involvement and incentives of the private sector will need to occur by creating an appropriate enabling policy environment that removes barriers for individual entrepreneurs, Small and Medium Enterprises and large corporates. Furthermore, decisions on land-use zoning and local planning will need to incorporate climate change considerations to ensure that implementation of specific adaptation interventions is appropriate given the local biophysical and social environment.
28. The preferred solution will also see climate change adaptation policy interventions and planning being **governed appropriately** (i.e. country-driven, gender-sensitive and transparent), **embedded in institutions across a range of scales** (i.e. local to national), and being **evidence-based** (i.e. using the best available scientific data and robust technologies). In order to plan for adaptation across a range of scales and sectors, appropriate assessments and modelling of the potential biophysical, economic and poverty impacts of climate change at the national, sectoral and local levels will need to be undertaken.
29. Climate resilient development in LDCs, within the preferred solution, will also build on **in-country knowledge, as well as South-South and North-South exchange of experiences and knowledge**. Additionally, guidance from *inter alia* the UNFCCC's LEG and the Adaptation Committee (AC) will allow good practices to guide medium- to long-term climate change adaptation planning. NAPs will complement and be built on already institutionalised processes in LDCs such as the NCs, TNAs and NAPAs, having iteratively and continuously identified interventions that build adaptive capacity and resilience.
30. The preferred solution will see public authorities with **improved political, managerial, technical and financial capacities** for informing and developing medium- to long-term climate resilient development in national and sub-national strategies and budgets. Instead of knowledge on climate change effects remaining in a select number of ministries, such knowledge will permeate into relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women's Affairs and Forestry, in no particular order of importance). Knowledge-sharing, and planning and budgeting for adaptation will

also be promoted at a sub-national level, and will depend on the degree of decentralisation and devolution of administrative responsibilities in each country. Exchange of information and replication of good practices will also be promoted between countries and regions.

Barriers

31. A number of barriers will, however, need to be removed to advance medium- to long-term planning for climate resilient development in LDCs. These barriers are discussed below.

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

To date, the discussion on NAPs has pointed overwhelmingly to the need for climate resilient planning and budgeting to be embedded within the existing annual/periodic planning and budgeting processes of respective countries. In this context, it will be critical to build on and strengthen existing processes, strategies or policies in LDCs, as well as those already under development, in order to avoid the creation of parallel structures and/or processes, as well as contradictory objectives. Linkages and alignments to work already underway and related to local, sectoral, national development planning, Poverty Reduction Strategies, Low Emission Climate Resilient Development Strategies, and other such relevant processes need to be made. Additionally, lessons learned from past development decisions, including both past success and failings, will need to be taken into account. The highest levels of political support and consensus will be required to advance an integrated approach, to prevent the NAPs becoming another stand-alone process.

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

Closely related to the above, cross-sectoral coordination in LDCs for advancing climate change adaptation planning for the medium- to long-term within the context of national development strategies needs considerable strengthening. Currently, capacities for integrated and multi-sectoral planning and implementation are weak, making such activities difficult in many countries, whether they are LDCs or not. This is the case for general development planning, as well as for more specific areas which are inherently multi-sectoral (for example, land use management).

National capacities will need to be strengthened in order to fully integrate multi-sectoral planning, budgeting, implementation and monitoring – not only at the national, but also at the sub-national level – by leveraging and coordinating existing processes. Plans for supporting climate resilient planning at the sub-national level will consequently need to be factored in from the beginning of the process. To this end, it will be necessary to avoid basing sub-national NAP-related capacity development on needs identified at the national level.

In addition, the role and responsibilities of different stakeholders at the national and sub-national (including local) levels will need to be clearly established. This will serve to clarify the institutional arrangements for the formulation, implementation and monitoring and evaluation (M&E) of the NAPs. It will also make the countries aware at the outset of the NAP process as to their exact roles and responsibilities, whether they will get any technical support, and when or at what stage.

- **Insufficient human resources**

LDCs often have too few – and unsustainable financing for – appropriately trained personnel in key public sector institutions who have the skills and mandates needed to support climate resilient planning, and budgeting. Importantly, NAP-specific capacity development needs will need to be integrated into the existing capacity development strategies of the agencies/institutions concerned. This is because stand-alone capacity development strategies can have unintended negative effects on core development processes, if for example financial resources are diverted from core development to the NAP process. It is therefore important that capacity building is done in conjunction with core development initiatives and becomes one component of long-term, extensive capacity building support to national, sectoral and local level planning.

- **Insufficient policy guidance**
 Many LDCs presently experience low diffusion and poor application of policy guidance as they are transitioning from urgent and immediate adaptation actions to medium- to long-term adaptation planning and budgeting. There is also a weak understanding of: i) the concept of mainstreaming; ii) the benefits that it brings; and iii) how to achieve the task. Finally, policy guidance fails to link and align medium- to long-term adaptation planning and budgeting with planning for economic growth and poverty reduction in a manner that does not create contradictory objectives.
- **Inadequate use and availability of evidence-based methodologies and toolkits**
 In LDCs there is generally very limited availability of knowledge on evidence-based good practices for assessing: i) economic and social vulnerability to current and future climate change; ii) adaptation needs that are also aligned to growth and poverty reduction objectives; and iii) economically and socially viable options in the context of uncertainty in the medium to long-term. Data collection and use for adaptation planning is hindered by inadequate institutional structures for designing and implementing: i) data collection methodologies; ii) data analysis; iii) data storage and sharing protocols; and iv) systems that use data to inform decision-making. This is in part due to the absence of a clear vision as to which organisation(s) will lead the NAP process. There is consequently a need for institutionalising the process in a manner that will lead to: i) the regular collection of information at national, sectoral and local levels; ii) the use of good practice tools and approaches for informing the NAP process; and iii) the sharing of information across sectors and with non-governmental organisations, where relevant. There is a need to develop, pilot and institutionalise tools for screening investments plans and projects to include adaptation needs.
- **A scarcity of champions**
 There are few individuals within LDC governments that have the political influence and technical capacity to champion adaptation planning in the medium- to long-term at national, sectoral and local levels. Indeed, awareness of – and engagement in – climate change adaptation among leaders remains low, with the result that there is inadequate local and national leadership to guide the adaptation process. This is related to a perceived reluctance to expand leadership and decision-making functions beyond traditional government players, and inadequate engagement of wider partnerships for increased collaboration amongst all players and stakeholders.
- **Absence of knowledge-sharing**
 There is a general lack of South-South and North-South knowledge- and experience-sharing that is relevant for medium- to long-term climate resilient planning and budgeting in LDCs. This is also tied to an absence of engagement with the media on the climate debate.
- **Few functional partnerships**
 To date, few functional partnerships have been formed with global and regional institutions to provide coherent and appropriately organised support to LDCs on various topics of relevance to climate resilient planning and budgeting, especially for key sectors such as agriculture, water, health and public work.
- **Insufficient communication**
 Currently, no communication and awareness-raising strategies exist for providing LDCs with relevant information regarding medium- to long-term planning for climate change adaptation.

1.4. Stakeholder baseline analysis

32. Since the initiation of the NAPs process, UNDP and UNEP has initiated a series of consultations with *inter alia* LDCs, the UNFCCC Secretariat, the GEF Secretariat, the Food and Agriculture Organisation (FAO), the World Health Organisation (WHO) and the International Fund for Agricultural Development (IFAD), as well as with key donors, on what the multi-lateral system could do to support and facilitate the NAP process in LDCs. These consultations mostly took place in 2011 and 2012, and built on: i) a

joint submission made by UNEP and UNDP on the process to enable LDC Parties to formulate and implement NAPs¹⁸; ii) the UNEP and UNDP presentation on experiences from the NAPA process¹⁹; iii) various consultations held during UNFCCC meetings, including LEG meetings in Vientiane (2001) and Thimphu (2011), as well as on the lead up to Tuvalu (2012), and the NAP Guidelines meeting in Bonn (Oct 2012); iv) SBI meetings (Bonn 2011, Doha 2012); and v) internal consultations held within UNDP and UNEP. Key events are listed below.

UNFCCC SBI-34 (Bonn, 2011)

33. The thirty-fourth meeting of the UNFCCC's Subsidiary Body for Implementation (SBI) was held in Bonn, Germany, from 6 – 17 June 2011. Based on the decisions taken in Cancun²⁰, discussions were held regarding the NAPs process. Specifically, these discussions focused on: i) a process for enabling LDCs to prepare NAPs, based on their experience in preparing NAPAs; and ii) modalities and guidelines to support the NAP process. It concluded that LDCs would benefit from input from the LEG, as well as knowledge-sharing, with regards to lessons learned by other countries on national planning processes. As a result, the UNFCCC secretariat was requested to convene an expert meeting and accept submissions with respect to the two above-mentioned points.

UNFCCC LEG-20 (Vientiane, 2011)

34. Following the request made in Bonn, the twentieth meeting of the UNFCCC's LDC Expert Group was held in Vientiane, Lao PDR, from 15 – 17 September 2011. It provided a forum for presentations on experiences, good practices and lessons learned concerning the formulation and implementation of adaptation planning in the contexts of various countries. This was followed by interactive discussions on the enabling of NAP processes in LDCs. This meeting resulted in agreement on: i) the elements and deliverables for facilitating the NAP process in LDCs; and ii) modalities and guidelines for NAP formulation and implementation. UNDP and UNEP made submissions on good practices and lessons learned from the NAPAs that would be of relevance to the NAP process. During the meeting the idea of a NAP support programme was discussed by the Parties.

UNFCCC SBI-35 (Durban, 2011)

35. The UNFCCC's SBI's thirty-fifth meeting was held in Durban, South Africa, from 28 November – 3 December 2011. The submissions received by the UNFCCC secretariat – derived from the decisions made at SBI-34 – were presented in a synthesis report. This led to draft decisions for consideration at COP-17. These draft decisions concerned *inter alia*: i) the nature and objectives of NAPs; ii) the establishment of a process for enabling LDCs to formulate and implement NAPs; iii) initial technical guidelines; and iv) an invitation to the GEF and other agencies for considering the establishment of support programmes. These decisions were subsequently ratified in Decision 5 of COP-17, which invited submissions concerning support for the NAP process.

UNFCCC LEG-21 (Thimphu, 2012)

36. The twenty-first meeting of the UNFCCC's LDC Expert Group was held in Thimphu, Bhutan, from 9 – 13 March 2012. Discussions at this meeting highlighted the necessity for developing a set of scientifically and technically sound guidelines for the NAP process. These guidelines were to be completed by October 2012, taking into account lessons learned from countries that had successfully engaged in adaptation planning. The provision of technical guidance and advice for NAP processes in LDCs was included in the LEG's two-year rolling work programme for 2012-2013. Following the joint presentation made at this meeting by UNDP and UNEP on the proposed architecture of the NAP support programme, useful feedback was received by the LEG members, which was reflected in the proposal.

UNFCCC SBI-36 (Bonn, 2012)

37. The thirty-sixth meeting of the UNFCCC's SBI was held in Bonn, Germany, from 14 – 25 May 2012. At this meeting, the submissions prepared after COP-17 were presented in a synthesis report. These

¹⁸ Made to the Subsidiary Body for Scientific and Technological Advice in 2011.

¹⁹ Made to LEG during a UNEP-led workshop in 2012.

²⁰ Decision 1/CP.16

submissions called for, *inter alia*²¹: i) the establishment of arrangements to set up a process of for assisting Parties in the formulation of their NAPs; ii) institutional and technical support to facilitate the NAP process; and iii) funding from the GEF, LDCF and other sources to accelerate the NAP process. During SBI-36 UNDP, UNEP and GEF held consultations with the Umbrella Group and LDCs on the support programme for the NAPs. Presentations were made by UNDP and UNEP on the proposed architecture of the NAP support programme. Views and feedback received by Parties are taken into account and reflected in this proposal.

UNFCCC AWG-LCA-15 (Bangkok, 2012)

38. The *Ad Hoc* Working Group on Long-term Cooperative Action (AWG-LCA) held an informal session from 30 August – 5 September 2012 in Bangkok, Thailand. This session reiterated the need for enhanced action on adaptation, including appropriate financial support and capacity-building for the NAP process. During this meeting, UNDP and the GEF-Secretariat met with all LDCs to inform them of progress in terms of their request for support with advancing NAPs in their respective countries. UNDP outlined the key elements of the NAP support programme, and the LDCs expressed support for what was presented. The LDC Chair expressed his gratitude to UNDP, UNEP and GEF Secretariat for speedily responding to the request made by LDCs.

UNFCCC LEG meeting on NAP guidelines (Bonn, 2012)

39. The LEG technical meeting to review the draft NAP guidelines was held from 29 – 31 October 2012. These draft guidelines built on the initial guidelines for the formulation of NAPs by LDC Parties as adopted by COP-17. Key elements covered by the guidelines included: i) steps that may be undertaken to “lay the groundwork and address gaps”; ii) elements for the preparatory and implementation phases; and iii) reporting, monitoring and review. UNDP and UNEP, along with the GEF Secretariat, participated in this meeting of experts.

UNFCCC COP-18 and SBI-37 (Doha, 2012)

40. The thirty-seventh meeting of the UNFCCC’s SBI was held in Doha, Qatar, in parallel with the meeting of COP-18 from 26 November – 8 December 2012. During COP-18, a decision was adopted on the NAP process which included the provision of technical support to LDCs for NAP preparation and implementation, *inter alia* through the establishment of a Global Support Programme (GSP). It also included the provision of technical support to non-LDCs for NAP preparation, as guided by the AC. The NAP technical guidelines were launched by the LEG at COP-18²².

2. STRATEGY

2.1. Project objective and strategic approach

41. The **goal** of this LDCF programme is to facilitate effective medium- to long-term planning for adaptation to climate change in LDCs. The programme **objective** is to strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs. Importantly, NAPs will be country-driven, and based on integrating adaptation into existing national development priorities and plans, to ensure a strategic and properly aligned approach to addressing climate change adaptation.

42. Responding to the invitation made by the COP to agencies on establishing support programmes, and linking to the UNDP Environment and Energy Global Programme directive to establish strategy for climate change adaptation, as well as to the needs identified by LDCs²³, LDCF resources of US\$1,998,000²⁴ are requested for the period June 2013 – May 2015. This will enable the

²¹ FCCC/SBI/2012/8

²² http://unfccc.int/files/adaptation/application/pdf/nap_technical_guidelines.pdf

²³ *Inter alia* in FCCC/SBI/2012/27

²⁴ As this is a joint UNEP UNDP project, each agency will administrate US\$999,000 of LDCF resources.

development of a **support mechanism** that is appropriately staffed and financially resourced to assist 12 LDCs to develop **fully budgeted NAP papers**²⁵ for the development of NAPs. These NAP papers will be country-specific, and build upon and/or integrate with existing national planning and budgeting processes, as determined by country-specific priorities. The participating LDCs will be selected by the Project Board, based on criteria developed during the inception phase in a transparent and equitable manner. In addition, the support mechanism will provide all LDCs with access to South-South and North-South transfer of technical and process-oriented information on experiences and lessons that are relevant to medium- to long-term national, sectoral and local planning and budgeting processes to utilise in advancing the NAP process.

43. The support mechanism developed by the programme is in line with the initial elements of the GSP as provided in the LDCF/SCCF technical paper²⁶ prepared by the GEF Secretariat. It will assist LDCs in following the technical guidelines for the NAPs as developed by the LEG. The support mechanism will: i) be flexible to the needs of each LDC; ii) offer a package of services that can easily be tailored to the circumstances of each LDC; iii) leverage and build on UNDP and UNEP's long-standing assistance to LDCs in capacity development and climate change adaptation, including on-going programmes²⁷; and iv) facilitate a coordinated response by other interested agencies and parties to assist LDCs with transitioning to medium- to long-term adaptation planning.
44. This support mechanism will link with other on-going NAP-related initiatives, such as those being launched by WHO (on health national adaptation plans for LDCs). Linkages will be made to this initiative from the start, by sharing the technical guidance developed by sector specific support programmes, and by ensuring that national health focal points participate in cross-sectoral adaptation planning mechanisms, including within this project. Similar linkages will be made to the United States Agency for International Development (USAID)-financed UNDP-ADAPT-Asia Pacific Programme, which is rolling out a capacity development programme on the economics of adaptation in Asia, to IFAD and FAO's work on agriculture to UNEP and UNDP, to the International Union for Conservation of Nature (IUCN)'s work on Ecosystem Based Adaptation, as well as to UNDP's Climate Public Expenditure Institutional Reviews (CPEIR) and follow-up activities through the SIDA funded programme on "Strengthening Governance of Climate Finance to benefit the poor and vulnerable" with the UNDP Asia Pacific Regional Centre in Bangkok. This will also be linked to regional initiatives for climate change adaptation, such as the Asia-Pacific Adaptation Network (APAN) and the Africa Adaptation Knowledge Network (AAKNet).
45. The "Strengthening Governance of Climate Finance to benefit the poor and vulnerable" is an innovative programme developing tools to link public financial management with the effective use of climate finance to benefit the poor. The programme supports countries with developing climate finance strategies, strengthening national public finance systems for managing climate finance, introducing climate finance markers in national budgets, promoting the use of local-level planning and budgeting to channel climate finance through local government, and linking social protection programmes with increased resilience to climate risks. The proposed support mechanism – which will also be based in Bangkok – can take advantage of the tools and country level experience from this programme.
46. The programme will contribute to overcoming barriers outlined above in the following ways:
 - **Providing institutional support.** LDCs will be assisted in the strengthening of existing institutions and the development of NAP papers that will enable them to advance medium- to long-term planning for climate change adaptation, within the context of national development plans and strategies.

²⁵ The NAP papers will contain – but not be limited to – a description of the elements and steps of the NAP process as guided by the LEG technical guidelines.

²⁶ GEF/LDCF.SCCF.13/Inf.04

²⁷ Relevant programmes include UNDP-GEF's support to countries to develop Low Emission Climate Resilient Development Strategies, UNDP's Africa Adaptation Programme funded by the Government of Japan, the UNDP's Boots on the Ground Programme, and UNEP's work through DEPI (see annex for details).

- **Providing technical support.** Tools and methodologies that support key steps of the NAP process will be developed and made available to LDCs.
- **Knowledge brokering.** The exchange of knowledge and lessons learned (e.g. through South-South and North-South cooperation) will be facilitated, with a view to enhancing the capacity for advancing the NAP process within LDCs.

47. The support mechanism will provide **institutional and capacity development support** to LDCs. It will actively assist countries in undertaking new initiatives, as well in leveraging other on-going initiatives that support capacity needs assessments, in order to strengthen national capacities for vulnerability analysis, economic assessment of adaptation options, climate resilient planning and budgeting (taking gender into consideration), policy development, coordination/ and collaboration capacities, leadership capacities and management capacities (financial readiness, M&E, etc.). This will be done in coordination with other donor-supported capacity development programmes. Fostering coordination among different line ministries will also help to identify and align the programme with other relevant on-going and planned initiatives pertaining to national planning and budgeting. Assistance may also be provided to support national teams to set up multi-sectoral country coordination mechanisms (national, sectoral and local efforts to establish multidisciplinary, gender-balanced, cross-ministerial committees and sectoral technical sub-committees, as relevant) that can effectively advance the integration of the NAP processes into existing planning and budgeting.

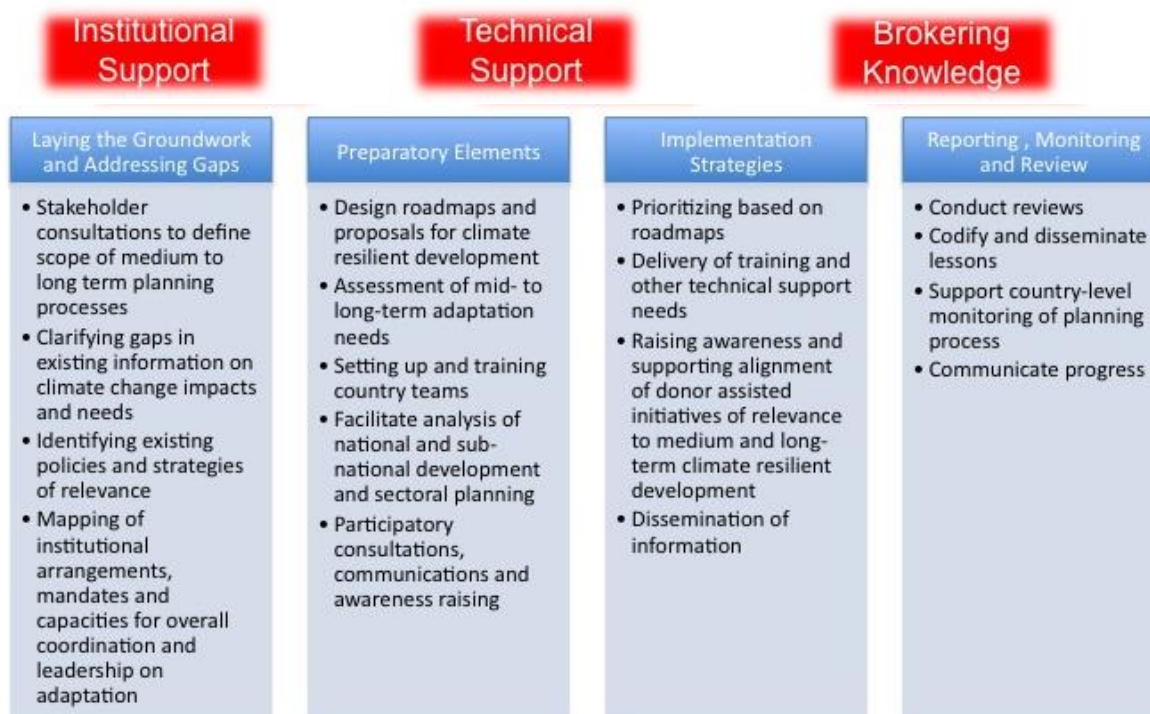
48. In terms of **technical support** to assist countries to advance NAPs and produce operational and flexible NAP papers, the programme will help countries to translate guidance emerging from the AC, LEG and other relevant processes into policy relevant analysis. It will also train national staff on integrating adaptation into medium- to long-term national planning and budgeting. Training packages for technical officers at the national level will be developed and implemented by the programme. LDCF resources will also be used to provide impartial advisory support and direction to countries on: i) stocktaking and analysis of existing assessments; ii) identification of what type of assessments need to be done over and beyond completed ones; and iii) the scope of such assessments, including their likely usefulness and role in understanding the context of climate resilient development pathways. The programme will also develop and update indicators for reporting, monitoring and evaluating progress on the NAPs process when it officially commences in 2013, as required by the COP decision. The support mechanism will also assist countries – if requested – with reporting and monitoring, as well as reviews of, and advice on, NAP documents prior to their official submission to the UNFCCC. Technical assistance may be provided directly to national country teams. Alternatively is, it will be provided indirectly by facilitating access to regional, global and other information and technical expertise through a variety of partnerships.

49. To advance the development of the NAPs, **brokering of knowledge** will be undertaken by the programme to provide all LDCs with a wide variety of knowledge products and services on adaptation planning for the medium- to long-term. In addition, the support mechanism will maintain a repository of technical documents of relevance to LDCs, which will synthesise good practices and lessons learned. This will facilitate access to the best available and most relevant scientific information and expertise. Furthermore, South-South and North-South collaboration would be promoted actively by building relationships and partnerships with agencies and institutions involved in the NAP process. This will complement the existing UNDP- and UNEP-supported knowledge networks and platforms²⁸ and extend to emerging adaptation knowledge platforms such as IFAD's Adaptation for Smallholder Agriculture (ASAP) Programme²⁹ and WHO support platforms on health and climate change. The support mechanism will also track and report on progress to the general public through a dedicated website (building on the infrastructure of existing relevant sites), allowing *inter alia* donors and technical institutions to identify opportunities to further assist LDCs in their NAP processes.

²⁸ For example, the UNEP Global Adaptation Network and its regional networks, and the UNDP Adaptation Learning Mechanism.

²⁹ ASAP was launched by IFAD in 2012 to increase the climate resilience of 8 million smallholder farmers in poor developing countries. A large scale adaptation financing window, ASAP grants are programmed back to back with regular IFAD programmes, influencing around 1 billion US\$ of new investments. ASAP has a substantive knowledge management component to help countries integrate effective adaptation planning into agricultural programmes and policies (<http://www.ifad.org/climate/asap/>)

Potential Country-Level Services offered by the NAP Support Mechanism



50. The proposed support mechanism will assist LDCs with several aspects of the NAP process. Recognising that LDCs are in very different stages of adaptation planning and implementation, the support mechanism will work with countries in a flexible manner, taking into account their specific needs and circumstances. For example, it will be necessary to take stock of on-going, country-driven initiatives – including those financed by bi- and multi-lateral entities – that support medium- to long-term climate resilient planning and budgeting. Furthermore, information gaps, capacity requirements, priority needs and other inputs to advance deliverables will need to be identified early on in the NAP process.

51. The programme will support countries³⁰ in their efforts to develop operational and flexible NAP papers that advance NAP processes in each country and outline activities, inputs, milestones and financing requirements. Importantly all programme activities will need to take existing and planned climate resilient development priorities into account, as well as activities falling under existing development plans. Assistance will be provided to ensure that expectations that emerge from the NAP papers – including critical deliverables for medium- to long-term climate resilient development planning – will need to be tailored according to each country's specific needs and context

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

³⁰ Criteria for selection of participating LDCs will be developed by the Project Board during the inception phase.

the transitioning process. The scope of engagement for such stakeholders will be clearly defined during the programme's inception, based on country needs.

53. Countries will be supported in their efforts to carefully design the institutional and coordination arrangements necessary for planning and implementing climate change adaptation, which will also feed into the NAP process. In this regard, it will be important to recognise that climate change adaptation goes beyond the domain of ministries of environment. National coordinating bodies, notably ministries of finance and planning, will need to engage in the NAP process from the beginning of the programme.
54. The support mechanism would build on and complement – rather than duplicate – other relevant support provided to LDCs by drawing on, synthesising and making available relevant guidance, methodologies and tools (e.g. sector specific guidance), rather than developing new ones. This would be ensured through close coordination with the LEG, which is preparing and disseminating technical guidelines on the NAPs, and other existing initiatives at the national and sub-national level. Existing knowledge platforms – such as the Adaptation Learning Mechanism (ALM), Asia Pacific Adaptation Network (APAN), Africa Adaptation Knowledge Network (AAKNet), Global Adaptation Network (GAN), etc. – will be used for LDCs to share information about relevant experiences, good practices and lessons learned from the preparation and implementation of NAPAs.
55. The institutional and technical capacity needs will differ from country to country depending on national circumstances, and therefore, services from the programme will be custom-made based on an initial needs assessment. Nonetheless, to assess programme results, a unified monitoring and evaluation system of deliverables and indicators (see Table 1 for deliverables and the Project Results Framework in Section 3 for indicators) has been developed to chart progress and to serve as a management tool.
67. In addition, UNDP and UNEP will assist LDCs to identify potential linkages between this initiative and other relevant initiatives supported by the UN and other systems. These include ensuring linkages to relevant country priorities as reflected in poverty reduction strategies, the Common Country Assessment (CCA) and UN Development Assistance Framework (UNDAF).
68. Linkages will also be made to on-going UNDP, UNEP and other projects and programmes including those highlighted in Annex II, to ensure that synergies are maximised and value added-use is made of the resources provided to this initiative. While the focus of this support mechanism is on national adaptation planning, it will build on and complement regional platforms and networks for collating and disseminating lessons learned from the NAP process. For example, the GEF financed Adaptation Learning Mechanism, UNDP-ALM, the Global Adaptation Network (GAN) – facilitated by UNEP – links extant adaptation networks and knowledge platforms in order to improve the availability and accessibility of information concerning climate change adaptation. Under the auspices of GAN, the Africa Adaptation Knowledge Network (AAKNet) and Asia-Pacific Adaptation Network (APAN) form regional platforms for the sharing of information and knowledge on climate change adaptation. The proposed support mechanism will complement the work of ALM, AAKNet and APAN, enabling lessons learned from medium- to long-term adaptation planning at the national, sectoral and local levels to be shared through regional networks.

2.2. Expected outcomes and activities

56. The services made available to LDCs through the programme will be organised around key stages that were identified by Parties as necessary for formulating NAPs³¹. These stages include: i) identifying and addressing weaknesses and gaps in enabling environments; ii) identifying country-specific needs and priorities; iii) developing implementation strategies; and iv) reporting, monitoring

³¹ FCCC/CP/2011/9/Add.1

and review activities. The services have been grouped into three components, following three thematic areas. These are:

- institutional support;
- technical support; and
- brokering of knowledge.

57. In order to achieve the programme objective, LDCF resources will be used to achieve the following outcomes and outputs under each component:

Component 1: Institutional support

Baseline

58. Most LDCs have developed urgent and immediate plans for adaptation during the course of the NAPA process and other related climate change strategies (e.g. NCs and TNAs). Furthermore, the majority of LDCs have started implementing these plans by creating coordination mechanisms to support the integration of adaptation into national development processes. However, most of these plans are limited to a single ministry domain. At present, line ministries submit their plans to finance/planning ministries, which then allocate budgets accordingly. Climate change is usually only taken into account in a cursory manner during this planning and budgeting process. The required medium- to long-term and cross-sectoral planning that would enable a comprehensive assessment of the benefits and trade-offs of climate change adaptation interventions for society is seldom undertaken. Further, local government and communities are often excluded or limited in their engagement in framing key policy documents, such as the NAPAs.

Co-financing initiatives

59. UNDP coordinates global and national efforts towards achieving the MDGs. It builds capacity for sustaining development that reduces vulnerability to social and environmental crises, in order to reduce poverty and improve quality of life, especially in developing countries. This is achieved by strengthening institutions and processes that respond to the needs of especially the poor. Further, UNDP supports developing countries in obtaining and using financing from the donor community for implementing sustainable development interventions, including integrating climate change adaptation into national development planning and strategies. The proposed support mechanism is built upon and contributes to on-going projects and programmes implemented by UNDP. More specifically it will be aligned to and built upon the following on-going initiatives:

60. **UNDP/ USAID-funded ADAPT Asia-Pacific³² Capacity Building Programme: “Economics of Climate Change Adaptation – Supporting National / Sub-national Adaption Planning and Action”**. (Two-year programme; USD \$650,000 from ADAPT Asia-Pacific; USD \$500,000 from UNDP [in-kind]). This programme, undergoing the first year of implementation, is training government representatives of LDCs and developing countries across Asia in cost-benefit analyses of adaptation projects and integration of economics of adaptation into national development planning processes, to directly support countries in designing their NAPs. To date, multi-disciplinary technical teams from Bangladesh, Cambodia, Lao PDR, Indonesia, Maldives, Mongolia, Nepal, Philippines, Sri Lanka, Thailand, and Vietnam have attended the first of four regional training workshops, in March 2013, in Bangkok, Thailand. Country representatives will develop an understanding of the methods and data used to analyze the economic net-benefits of alternative adaptation initiatives in the agriculture and water sectors. The end goal of the programme is twofold: i) to develop in-country knowledge and skills on conducting policy relevant economic analyses at the sectoral level to inform medium and long-term climate investment planning and enhance understanding of the appraisal techniques for different types of adaptation projects; and ii) to introduce results into the planning and budgeting process for each country, and track impact. The substance and in-country, hands-on activities of this programme have been carefully designed to better

³² ADAPT Asia-Pacific stands for Climate Change Project Preparation Facility for Asia and the Pacific. It is a US \$17 million project financed by USAID and executed by AECOM International Development and the Institute for Global Environmental Strategies.

prepare governments in the preparation of NAPs, including the presentation of main findings to senior decision-makers at country and regional-levels to advance multi stakeholder dialogue. The programme is executed in collaboration with world leading experts on climate change economics from Yale University and regional universities and institutions (i.e., Asian Development Bank and World Bank).

61. **UNDP Knowledge, Innovation, and Capacity Group (KICG) initiatives.** (On-going, USD \$30,000 [in kind]). Knowledge sharing, innovation, and capacity development are key elements in how UNDP supports countries to achieve sustainable human development and build resilient societies. KICG's approach to capacity development recognizes that without appropriate policies, laws, and procedures, as well as well-functioning institutions and educated and knowledgeable people, countries will lack the foundation needed to plan, implement, and review their national and local development strategies. In this connection, KICG supports countries to develop locally-relevant knowledge sharing approaches and fosters capacity development processes aimed at achieving nationally defined development goals by building on existing systems. KICG's capacity development approach focuses on strengthening institutions and systems, by working with government as well as other stakeholder groups, noting the increasing complexity of development challenges and the need for a diverse range of actors, interest groups and indeed sectors to collaborate effectively in order to overcome challenges. KICG's work is relevant to the formulation of the NAPs in that mainstreaming climate risks into medium and long term planning and budgeting processes will require a focus on strengthening capacities of multiple institutions: by improving institutional arrangements and coordination; investing in leadership development; strengthening and clarifying accountability mechanisms; and putting in place appropriate knowledge sharing systems. KICG initiatives that are relevant to the NAPs involve capacity development of government and local institutions in areas of environment, disaster risk reduction/management, climate change, and sustainable development. That is, much of the KICG's work can provide the "ground work" in program countries for the specific capacity development efforts that will be required for countries to address the medium to long-term adaptation planning processes inherent to the formulation of NAPs. Some relevant, illustrative examples of KICG's country support initiatives include the following:

- a) Integration of comprehensive Capacity Development approaches into UNDAFs and country programmes (Bhutan and Afghanistan; more countries to be supported in following years): KICG is supporting UN Country Teams and national partners to integrate a comprehensive approach to capacity development in country programming. This comprehensive approach includes emphasis on stakeholder engagement and dialogue to prioritize development issues; identifying institutions and organizations as partners; establishing a baseline of capacity gaps (through capacity assessments); and formulating a robust monitoring and evaluation framework to measure changes in capacity (focusing on institutional performance) in the short, medium, and long term. (This overall support to country programming includes projects within the environment/DRR and sustainable development pillars of country programs)
- b) Capacity Development support to countries to achieve 'REDD+ readiness' (UN-REDD program [joint program of UNDP, FAO, and UNEP])
 - i) Mongolia: Support Ministry of Environment on a capacity assessment and capacity development plan (focus on the forestry sector) as relevant to climate change/reducing emissions
 - ii) Myanmar: strengthen government capacity to engage with civil society/citizenry through the establishment and/or institutionalization of appropriate mechanisms and strengthen inter-ministerial dialogue for sectoral collaboration and coordination, as related to climate change/reducing emissions in the forestry sector.
- c) Collaboration with UNDP's regional Inclusive Growth and Poverty Reduction team (and UNHABITAT) on an urban environmental vulnerability assessment, with the inclusion of an institutional/capacity assessment as part of the methodology (Makassar City, Indonesia).
- d) Sri Lanka: support in the development of UNDP's next phase of support to disaster risk reduction (DRR), including a capacity assessment of the DRR sector/relevant institutions.

62. **UNDP Asia-Pacific Regional Centre: Strengthening the Governance of Climate Change Finance to benefit the poor and vulnerable** (On-going, USD \$ 4,600,000 [in-kind]). This project is based around three mutually reinforcing outputs. The first output strengthens national policies and

institutional arrangements which will enable planning and budgeting to effectively prioritise climate change finance. The second output focusses on government modalities that will enable delivery of climate change finance, including national budgets and government-led programmes. The third output will strengthen key regional institutions to promote sharing of experiences regional and globally. This aligns well with Component 1 of the proposed support mechanism, particularly with regard to strengthening institutional capacity for advancing medium- to long-term planning for adaptation within the framework of on-going planning and budgeting processes.

Outcome 1: Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets

63. Outputs under Outcome 1, which will be led by UNDP, will focus on supporting countries to “lay the groundwork and assess gaps for medium and long-term planning and action”, and includes: i) strengthening (and establishing, if necessary) existing institutional arrangements for conducting multi-stakeholder dialogue in countries participating in the programme; and ii) stocktaking exercises of on-going work that is of relevance to advancing the NAP processes. Technical assistance will be provided to conduct capacity assessments, identify gaps in information and processes for integrating climate change into medium to long-term planning, and facilitate multi-stakeholder engagement in defining the scope of the national and sectoral adaptation planning and budgeting process as it applies to each participating country. To promote effective public involvement, stakeholder consultations will include groups from civil society, local communities, the private sector and government Ministries³³. Based on these initial assessments and consultations, participating LDC country teams will be supported to develop operational and flexible NAP papers to advance the NAP process in their respective countries. Country-specific institutional mechanisms for the NAP process will be identified, including elements of a national long-term strategy to maintain those mechanisms. Awareness-raising campaigns informing national policy-makers and other stakeholders on the importance of medium- to long-term planning and budgeting for adaptation as well as outreach activities with donor community and private sector will be carried out. Specific outputs and activities include:

Output 1.1

Stock-take of information and processes that are of relevance to the NAP process in the country and identification of key gaps to integrate climate change into medium- to long-term planning processes. This will include ensuring that key stakeholders are engaged in taking stock of on-going initiatives of relevance to NAPs, defining the scope of key requirements and expectations, and assessing the gaps and needs – in terms of information, skills and institutional capacity – for advancing medium- to long-term planning and budgeting processes for adaptation in the context of country specific planning processes and guidance emerging from the COP.

Activity 1.1.1 Revitalise national teams (e.g. working groups created for the NAPAs and/or national development plans) to lead the NAP process, including a respected champion who will lead, and identify key stakeholders

Activity 1.1.2 Carry out stocktaking of on-going and completed initiatives of relevance to informing and contributing to the NAP process

Activity 1.1.3 Conduct stakeholder consultations to identify the scope of the NAP process and expectations for advancing medium- to long-term planning for adaptation as part of the on-going planning and budgeting processes at national and sub-national levels

Activity 1.1.4 Identify gaps and needs in key institutional and technical capacities to fully embark on medium- to long-term planning and budgeting for adaptation linked and aligned to national development priorities (conducting capacity assessments to identify strengths that should be capitalised on and weaknesses that need to be strengthened)

Activity 1.1.5 Document the results of various stakeholder consultations so that countries can build and act upon priorities

³³ In line with GEF policy GEF/PL/SD/01

Output 1.2

National and sub-national institutional and coordination arrangements established/strengthened in 12 LDCs, including financial and other requirements for advancing medium- to long-term adaptation planning and budgeting.

Activity 1.2.1 Identify key national and sub-national institutions relevant to the NAP process

Activity 1.2.2 Identify or strengthen existing country specific coordination mechanism for climate change that will drive the NAP process

Activity 1.2.3 Strengthen leadership within key Ministries by targeting national and sub-national policy-makers (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

Activity 1.2.4 Carry out outreach activities with the donor community and the private sector for possibilities of funding the NAP process

Activity 1.2.5 Support countries in developing a long-term in-country strategy for maintaining sustainable institutional arrangements for medium- to long-term planning and budgeting for adaptation

Output 1.3

NAP papers are formulated in 12 LDCs, including elements for monitoring the progress of their implementation. The NAP papers will be country-specific and flexible, outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs, including reporting on progress to the LEG, AC, UNFCCC subsidiary bodies, etc. The NAP papers will contain information that can be submitted to the LDCF and/or other funding sources with the aim of obtaining the additional finance necessary to support and advance the NAP process in the country concerned.

Activity 1.3.1 Hold stakeholder consultations to draft and finalise the NAP paper

Activity 1.3.2 Formulate the NAP paper in line with LEG technical guidelines, including requirements for reporting

Activity 1.3.3 Submit the NAP paper to the GEF LDCF and/or Green Fund and/or other donors for financing support for the implementation of priority areas of intervention in the NAP process (and thereby initiate a process to integrate adaptation within national development plans)

Component 2: Technical support

Baseline

64. LDCs currently have a nascent base of knowledge on climate change impacts, climate vulnerability, and appropriate cost-effective, economically efficient and socially appropriate adaptation interventions. Consequently, planning and finance ministries do not have access to knowledge that is well-organised, appropriately communicated and easily understood. Guidelines for assessing climate change impacts and designing and evaluating adaptation options exist, including for prioritising and designing national programmes covering key sectors, but support to operationalise and apply these guidelines are not available except in an *ad hoc* manner. Furthermore, policy guidance for integrating climate change adaptation into existing national development planning processes is weak. Consequently, planning ministries develop policies and strategies that are not informed by robust, scientific data and evidence-based technical guidelines on managing climate change risks, and/or do not command the requisite national ownership. As a result, appropriate measures for medium- to long-term climate change adaptation are not included in national, sectoral and local policies and plans, or are only done so in a cursory manner to fulfil various obligations under the Climate Change Convention.

Co-financing initiatives

65. UNEP helps developing countries to reduce vulnerabilities and build resilience to the impacts of climate change. UNEP builds and strengthens national institutional capacities for vulnerability

assessment and adaptation planning, and supports national efforts to integrate climate change adaptation measures into development planning and ecosystem management practices. The work is guided by and contributes to the Nairobi Work Programme on Impacts, Vulnerability and Adaptation (a programme developed by the UNFCCC to help countries understand climate change impacts and adapt to climate change). The proposed support mechanism is built upon and contributes to the on-going projects and programmes implemented by UNEP. More specifically, it will be aligned to and built upon the following on-going initiative:

66. Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (PROVIA). (On-going, USD \$500,000 [in-kind]). PROVIA is a global initiative which aims to provide direction and coherence at the international level for research on vulnerability, impacts and adaptation (VIA). The PROVIA Secretariat is currently hosted by UNEP in Nairobi. Launched with the support of leading scientists and decision-makers, PROVIA responds to the urgent call by the scientific community for a more cohesive and coordinated approach, and the critical need to harmonize, mobilize, and communicate the growing knowledge-base on VIA. PROVIA acts as a new and growing network of scientists, practitioners and decision-makers working towards identifying research gaps and meeting policy needs in climate change vulnerability, impact and adaptation research. Acknowledging emerging policy strategies, new scientific developments and lessons learnt from past programmes, PROVIA promises to deliver, in collaboration with its implementing partners, improved coordination of international research on the impacts of and responses to climate change, and provide the credible scientific information that is being increasingly requested by the world's decision makers.
67. This programme is well aligned with Component 2 of the proposed support mechanism, by making tools and approaches that support key steps in the NAP process available to LDCs.

Outcome 2: Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs

68. Country teams will be provided support, led by UNEP, to draw from an existing package of relevant tools and methods on specific technical issues (e.g. climate scenarios, economics of adaptation, CPEIRs, assessment of growth and multi-dimensional poverty impacts of climate change as well as adaptation interventions that are pro-development and pro-poor, and gender and vulnerability considerations) for designing comprehensive and operational NAP papers to advance NAPs. The support mechanism will provide the means for all LDCs to acquire initial training and knowledge on the application of the NAP technical guidelines, which are to be developed and made available by the LEG. Four regional trainings will be organised for technical officers from all LDCs that work in line ministries and other governance bodies playing a key role in national and sector-level planning. The training will focus on: i) integrating climate change concerns into existing national planning and budgeting processes; and ii) the application of various tools and methods that exist for supporting analytical exercises that are relevant for medium- to long-term planning for adaptation. It is anticipated that training provided through this programme will focus on: i) climate change science and its impacts on key sectors and localities within a country; ii) the economics of adaptation (including both the economic value of sectoral impacts, and the net economic benefits of adaptation options, taking gender and other social consideration into account), growth and poverty impacts and CPEIRs; iii) climate-resilient national, sectoral and local planning and budgeting; and iv) understanding the public and private climate finance landscape and architecture. Web-based training methods and tools will also be developed in order to reduce the need for workshops in the future. Specific outputs and activities include:

Output 2.1

Technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages and usable formats to all LDCs, developed in partnership with relevant stakeholders. Effort will be made to use existing sectoral guidance and support, as is being developed by other organisations, rather than create new ones. For

example, for health, WHO is currently developing guidance that covers vulnerability and assessments, economic tools, gender, early warning systems, indicators for health system resilience and health sector-related NAP guidance.

Activity 2.1.1 Undertake a survey to assess the needs and gaps for materials, methods and tools that are relevant for informing the NAP process

Activity 2.1.2 Promote the use of existing training materials, methods and tools on the basis of the needs identified through the survey carried out under activity 2.1.1

Output 2.2

National teams are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.

Activity 2.2.1 Organise thematic regional training workshops on implementation of the NAP process

Output 2.3

Web-based training materials prepared for use by all LDCs as they commence their respective NAP processes.

Activity 2.3.1 Develop web-based training materials for the NAP process in conjunction with the UNFCCC Secretariat and LEG work programme

Component 3: Brokering of knowledge

Baseline

69. At present, relevant government entities and other stakeholders in LDCs have limited knowledge on advancing medium- to long-term adaptation planning processes in the context of national development strategies. Furthermore, limited partnerships exist between LDC governments and global and regional institutions, networks and platforms for implementing urgent and immediate adaptation needs, while no such partnerships exist for medium- to long-term adaptation planning. In addition, there are no communication and outreach strategies providing support to medium- to long-term adaptation planning. Consequently, medium- to long-term planning continues in a manner that does not take into account important lessons learned from adaptation planning processes elsewhere. Instead, planning ministries conduct planning exercises that are not cross-sectoral, nor based on good practices. As a result, appropriate climate change adaptation interventions are not integrated into new and existing national policies and strategies.

Co-financing initiatives

70. UNDP and UNEP both support networks that disseminate knowledge on climate change adaptation. The proposed support mechanism will build on already-existing online knowledge-sharing platforms and networks dedicated to climate change and targeting developing countries, as a solid base and structure upon which NAPs-related best practices and lessons learned can be exchanged. More specifically, it will be aligned to and built upon the following on-going initiatives:

71. Global Adaptation Network (GAN): Asia-Pacific Adaptation Network (APAN) (On-going, USD \$1,500,000 [grant]) and Africa Adaptation Knowledge Network (AAKNet) (On-going, USD \$500,000 [grant]). UNEP, in partnership with key UN and international organizations, governments, foundations and research institutions, is facilitating the development of the GAN. GAN has a global function mobilising knowledge and technologies to support adaptation, including linking the APAN and AAKNet initiatives.

72. The APAN builds resilience of vulnerable human systems, ecosystems and economies to climate change through mobilization of knowledge and technologies to support adaptation capacity building, policy-setting, planning and practices. The network provides and shares knowledge and information on adaptation in the region, facilitates developing countries' access to international adaptation finance mechanisms, informs development planning and investment decisions to support adaptation, and

develops the capacity of national and local planners, development partners and communities in adaptation.

73. AAKNet helps towards coordinating, facilitating, harnessing and strengthening the exchange of information and knowledge; Building new alliances to enhance collaboration and innovation; Harmonizing and aggregating knowledge in useable packages tailored for addressing particular climate risks; Fostering and supporting strategic planning and policy processes; Building capacity to provide short, midterm and long-term solutions to climate change..

74. These networks are therefore well aligned with and supportive of Component 3 of the proposed support mechanism, which will exchange lessons learned and knowledge through South-South and North-South Cooperation.

75. **Communities of Practice (CoPs) within the Asia-Pacific Adaptation Network (APAN) and ADAPT- Asia Pacific “Knowledge Sharing Strategies and Platform”.** (2011-2014; USD \$120,000). UNDP/ ADAPT Asia-Pacific Capacity-Building Programme on Economics of Adaptation is launching and operationalizing a web-based Communities of Practice on the new integrated platform in APAN. This platform serves to promote cross-learning among climate change adaptation (CCA) practitioners and contributes over the long-term to a higher quality of CCA action in Asia and the Pacific. This structure of Communities of Practice (and the web-based platform) is being used by other ADAPT Asia-Pacific and APAN projects; therefore the catalytic reach of the platform is increased. CoPs networks will also facilitate an increase in capacity to prepare “bankable” adaptation projects and demonstrate success in obtaining increased external and domestic adaptation funding. This platform acts as a gateway for disseminating information and knowledge products and outreach incorporating the existing UNEP, UNDP (ALM), APAN, and ADAPT Asia-Pacific websites and can provide a far-reaching functional platform to exchange lessons learned on the NAPs.

Outcome 3: Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process.

76. Outcome 3, which will be supported by both UNDP and UNEP, will focus on the exchange of country-specific lessons, experiences and knowledge on advancing NAPs. This outcome has the dual objective of, firstly, facilitating access to the best available scientific knowledge and good practices of relevance to NAPs (led by UNEP), and secondly, ensuring that all LDCs are able to learn from each other as well as have access to relevant information beyond the programme’s lifetime (led by UNDP). Activities will focus on capturing, codifying, synthesising and organising: i) lessons learned; ii) experiences of LDCs to date; and iii) good practices. Given the relatively small size of the support mechanism, compared with, for example, the GSP for National Communications, it will place a strong emphasis on making the existing knowledge widely available, and facilitating South-South and North-South transfer of knowledge to LDC country teams for future work (particularly for the benefit of those LDCs that are not specifically targeted by this support programme). This information will also feed directly into the global discourse on NAPs and other adaptation activities, particularly in the LEG, AC, the Nairobi Work Programme, and discussions around the CAF and other processes under the UNFCCC. This will include facilitating knowledge dissemination from existing global and regional Centres of Excellence, including those specialising in regional climate forecasting and projections, and economic analysis of climate change impacts and adaptation. Activities under this outcome will also facilitate information exchange between LDCs on lessons pertaining to opportunities and challenges with advancing NAPs. A dedicated web-platform will be used, building on an existing knowledge platforms such as the ALM, APAN and AAKNet to cost-effectively capture, synthesise and organise information as well as to facilitate on-line knowledge exchange. Specific outputs and activities include:

Output 3.1.

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 are captured, synthesised and made available to all LDCs to utilise in advancing the NAP process.

Activity 3.1.1 Create and maintain a NAP support programme website, quarterly newsletter and LISTSERVE of experts available to support Anglophone, Francophone and Portuguese-speaking countries with the NAP process.

Activity 3.1.2 Promote NAP thematic discussions through existing networks, including through webinars, by identifying topics for discussion and appointing facilitators from the network

Activity 3.1.3 Develop materials with good practices and case studies, including from the regional workshops, for dissemination through the thematic networks and LISTSERVE

Activity 3.1.4 Analyse and synthesise information from discussions, and share this information through the quarterly newsletter, networks, website and LISTSERVE

Activity 3.1.5 Share NAP good practices at side events during COPs and/or SBs, through the quarterly newsletters, etc.

77. Building on the extensive body of work that countries have already undertaken with the support of UNDP and UNEP (a few of which have been outlined in Annex II) and those led by UNITAR, IFAD, WHO, FAO and others, the targets that this LDCF initiative aims to achieve at the end of the programme include:

- i) Representatives of all LDC delegations are better informed and have increased awareness concerning the application of the LEG NAP guidelines, as well as linkages to on-going medium- to long-term national and sectoral planning processes;
- ii) Increased participatory discussion among the various players involved, as well as their proactive commitment to the NAP process in all LDCs;
- iii) Development of an operational and flexible NAP paper, based on stakeholder engagement, for medium- to long-term planning processes for adaptation in the context of other relevant on-going initiatives;
- iv) Assessment of gaps in key information, institutions and technical skills to start advancing the NAP process in 12 LDCs;
- v) Institutional and coordination arrangements for advancing the NAP process, with financing from the LDCF and other sources of funds, established in 12 LDCs;
- vi) National teams trained on the use of the tools and approaches for advancing NAP processes in 12 LDCs;
- vii) Preparation of technical and policy materials, guiding principles and case studies on lessons learned and good practices for the benefit of all LDCs;
- viii) Web-based training materials prepared for use by countries when the support facility is not available for the benefit of all LDCs;
- ix) Population of an online database of national and regional experts who can support the NAP process for the benefit of all LDCs;
- x) Partnerships with global and regional institutions established to deliver support to countries in formulating operational and flexible NAP paper to advance medium- to long-term adaptation planning processes for the benefit of all LDCs;
- xi) Communications and outreach strategy implemented, including a newsletter (building on the strengths and weaknesses of existing outlets). This will include reporting materials to disseminate to the LEG, AC and other UNFCCC processes for the benefit of all LDCs; and
- xii) South-South and North-South transfer of lessons learned, knowledge, experience, good practices and case studies for medium- to long-term planning for climate resilient development (if available), or alternately in the context of other development priorities for the benefit of all LDCs.

78. With the support provided, LDCs should then be in a position to articulate a clear plan of action, including budgetary requirements, to advance their NAPs. Countries should then be more empowered to access the necessary finance from a variety of resources and means (including directly or indirectly). Depending on country specific demand, each LDC will be able to request targeted support to meet their specific needs to prepare to advance their respective NAPs.

79. As this mechanism is to receive LDCF funding, only LDCs will be eligible for country-specific support such as the needs assessments, training of national teams and other elements mentioned above. However, as a result of the normative nature of elements – e.g. the provision of technical, training and policy materials – LDCs and non-LDCs alike are expected to benefit from these support programme activities.

Table 1. UNDP/UNEP Deliverables to be produced during programme lifetime.

	Deliverables	Target	Timeframe
Outcome 1 <i>Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets</i>	Clearly defined institutional mandates and capacities	12	Within two years
	Country needs assessments, stocktaking and stakeholder assessments carried out and proposals for advancing NAPs finalised	12	Within two years
Outcome 2 <i>Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs</i>	LEG-peer reviewed technical tools and methodologies for institutional capacity assessments	As required	Continuous
	Step-by-step guidance to support planning for climate resilient development	1	First six months
	Examples and case studies	At least 5	Continuous
Outcome 3 <i>Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process</i>	A web-based platform available	1	First three months
	A database for national and regional experts to support the process	1	First one year
	Partnerships with regional and global institutions established	10	Continuous
	Lessons, experiences and practices shared via different methods		Twice a year
	South-south knowledge transfer events	4	1-2 times a year per region

2.3. Comparative Advantage of UNDP and UNEP to Deliver This Support

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

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

81. UNDP and UNEP support and assist countries to meet their commitments under various Multi-lateral Environmental Agreements. This includes *inter alia* support to enable countries to meet commitments under: i) the UNFCCC; ii) the Convention on Biological Diversity (CBD); iii) the United Nations Convention to Combat Desertification (UNCCD); and iv) the Stockholm Convention on Persistent Organic Pollutants³⁴. Additionally, as part of the GEF Partnership, UNDP and UNEP have provided support to LDCs for combining and sequencing programmes and projects, and for accessing finance through vertical funds and other sources³⁵. Additionally, LDCs have been provided with technical, financial and capacity development assistance in order to facilitate the coherent integration of climate change risks and uncertainties into relevant new and existing national policies, programmes – particularly in development and environmental planning processes – within all relevant sectors and at different levels.
82. The support provided by UNDP and UNEP includes experience and technical expertise that exists within the two organisations in assisting countries, especially LDCs, to foster an enabling environment for pursuing sustainable climate resilient development, and making sure that adaptation measures are environmentally sound and sustainable in the medium- to long-term (see Annex II). These experiences and lessons learned suggest that, to support LDCs, organisations will require:
- An ability to identify, vet, and access expertise on relevant thematic areas such as vulnerability impact and assessments, climate modelling, growth and poverty impacts (including the collection of sex-disaggregated data and data reflecting the needs of different societal groups), climate modelling, economics of adaptation, development of investment strategies, advancing public and private sector collaboration in adaptation, integrating gender into climate change risk management strategies, establishing institutional coordination mechanisms, and facilitating broad-based stakeholder engagement;
 - The capacity to examine the current landscape on climate finance in LDCs, including support that is already being delivered to countries via multiple channels within and outside of the UNFCCC process. other opportunities that may have high transaction costs, and other barriers that make it difficult for LDCs to access such financing; and
 - The capability to ensure that delivery of support services is based on demand and recognises the importance of a country-owned, country-driven process.
83. UNDP and UNEP have produced a number of toolkits and guidance material that can assist LDCs during this process (see Annex III).

2.4. Total funding requirements

84. To achieve the objective and outcomes presented above (for greater detail, see the Project Results Framework in Section 3), LDCF resources of \$1,998,000 in total – US\$999,000 for administration by UNEP and US\$999,000 for administration by UNDP – are requested for the period of 2013-2015, excluding the fees for the two Implementing Agencies. The breakdown of the budget across the outcomes is presented below:

LDCF funding	UNDP	UNEP	Total
Component 1: Institutional support	737,000		737,000
Outcome 1: Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets.			
Component 2: Technical support		631,000	631,000
Outcome 2: Tools and approaches to support key steps of the			

³⁴ This was done through support for NCSAs, NCs, NBSAPs, TNAs for climate change technologies, National Reporting for CBD, the UNCCD Country Support Programme, and the National Dialogue Initiative and National Adaptation Plans for both UNCCD and the Stockholm Convention.

³⁵ Such as the Least Developed Country Fund, Special Climate Change Fund and the Adaptation Fund.

National Adaptation Plan process are developed and accessible to all LDCs			
Component 3: Brokering of knowledge	180,000	270,000	450,000
Outcome 3: Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process			
Project management costs	82,000	98,000	180,000
Total	999,000	999,000	1,998,000

As more resources become available, support to additional LDCs will be given via the same project components outlined above.

2.5. Country ownership: country eligibility and country drivenness

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

86. The proposed programme is consistent with the needs, in the context of planning for medium- to long-term adaptation activities for advancing NAPs, expressed by LDCs during the meetings in Vientiane and Durban in 2011, in the subsequent submission of collective views of LDCs³⁶ in response to the invitation from the decisions at COP-16³⁷ and COP-17³⁸, as well as in a series of consultations between UNDP/UNEP and representatives of LDCs. In particular, the priority needs identified through these fora include:

- a specific and dedicated process for NAP activities;
- financial, institutional and technical support; and
- taking stock and learning lessons, *inter alia*, from the NAPA formulation and implementation.

87. As it is presented in this proposal, the support mechanism architecture and the instruments through which such assistance is provided have been elaborated taking into account these priorities expressed by LDCs³⁹.

88. Moreover, the programme strategy and activities seek to assist countries in ensuring the consistency of medium- to long-term adaptation processes with national, sectoral and local development priorities, processes, plans and strategies, as called for in the Durban decision. The programme is designed to complement past initiatives and enabling activities, which are by design nationally driven. In particular, it should be noted that an integral part of the support is to assist national partners with the facilitation of national consultations to identify gaps and capacity/information needs that are specifically tailored to national circumstances.

2.6. Assumptions and Risks

³⁶ FCCC/SBI/2012/8

³⁷ 1/CP.16

³⁸ 5/CP.17

³⁹ E.g. as expressed at the 22nd meeting of the LEG

89. This Programme assumes that participating LDCs will have developed sufficient capacity to fully take on the responsibility of continuing the iterative and progressive process required to advance national adaptation planning processes without limited external support. However, experience from the GSP for National Communications shows that there are varying degrees of progress and similarly varying degrees of support needs among LDCs. The financial resources requested from the LDCF are based on a somewhat optimistic assumption about the future attainment of the necessary capacity. For this reason, options for expanding the scope and duration of the support mechanism should not be precluded, to make sure that the progress achieved through the programme will not be lost.
90. A number of risks threaten the success of the programme. These risks are summarised in Table 2, along with appropriate countermeasures and management responses to minimise the potential threat posed by the specific risk.

Table 2. Risks, consequences and countermeasures for consideration in establishment of the support mechanism.

#	Description of the risk	Potential consequence	Countermeasures/ Mngt response	Type (Risk category)	Probability & Impact (1-5)
1	Problems related to involvement and cooperation of stakeholders to provide the project team with data	Incomplete data collection Delay in the completion of the outputs	Clear commitment of the Ministry to data collection and hand over of data	Political and organisational	P=3 I=5
2	Governments will not have funds to sustain the national arrangements, once the project ends	Endangered project sustainability	Awareness-raising among the decision-makers. Outreach potential donors	Financial	P=2 I=5
3	Conflicts among stakeholders as regards roles in the project.	Uncoordinated approach to tackling climate change Threat to successful project implementation.	Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles.	Political and organisational	P=3 I=3

4	Lack of political will to support the project	Endangered project sustainability	<p>Awareness-raising among the decision-makers.</p> <p>Develop leadership/champions for change.</p> <p>A strong stakeholder involvement plan has been developed (and will be confirmed during the Inception Workshop) to provide support to the project.</p> <p>Support will be given to government to organise consultations on project progress at key stages in order to maintain government ownership and interest in the project.</p> <p>Collaboration with other cooperation projects which will help to maintain political visibility.</p>	Political and strategic	P=2 I=4
5	Poor coordination.	Leading to delays in deliverables	Clear Project Management arrangements	Political	P=3 I=3
6	Limited capacity within relevant ministries/insufficient qualified human capacity.	May limit/delay project implementation/completion.	A major part of the project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives, for example those with national climate change learning strategies already in place.	Political, strategic	P=3 I=2

2.7. Sustainability

91. Emphasis on sustainability is very much at the centre of design considerations for the support mechanism. The transitioning from urgent and immediate to medium- to long-term planning will differ from country to country. For this reason, the support provided through this initiative will put the foundational capacity in place within national systems to gradually carry out the steps required for a fully implemented national climate resilient development process. In addition, a number of efforts envisaged under the technical support component will produce technical and methodological guidance and compile good practices, which can be utilised beyond the project timeframe. "Institutionalisation" of capacity will be achieved through a series of targeted trainings for key government officials, including those from the Ministries of Planning, Finance and Environment. Building on a number of completed and on-going climate change adaptation related initiatives, rather than commencing yet another stand-alone process, is seen as an effective step in ensuring sustainability of the outcomes achieved through this programme.

92. Moreover, in parallel to these efforts, the support mechanism will also assist country teams in identifying, accessing and sequencing other sources of climate finance so that countries will be able to mobilise additional resources that may be necessary – depending on country circumstances – to undertake additional elements to advance their NAP processes.
93. Finally, a dedicated web-based platform, building on the existing ALM, will be strengthened to assist with the NAP process and to ensure that the lessons learned from individual countries' experiences will contribute to the growing body of knowledge.

3. PROJECT RESULTS FRAMEWORK

<p>Applicable SOF (e.g. GEF) Strategic Objective and Programme: Least Developed Countries Fund (LDCF) Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global levels Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level</p>					
<p>Applicable SOF Expected Outcomes (relating to the LDCF Results-Based Management Framework): Outcome 1.1: Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas Outcome 2.2: Strengthened adaptive capacity to reduce risks to climate-induced economic losses</p>					
<p>Applicable SOF (e.g. GEF) Outcome Indicators (relating to the LDCF Results-Based Management Framework): Indicator 1.1.1: Adaptation actions implemented in national/sub-regional development frameworks Indicator 2.2.1: No. and type of targeted institutions with increased adaptive capacity to reduce risks of and response to climate variability Indicator 2.2.2: Capacity perception index</p>					
<p>Project Goal To facilitate effective medium- to long-term planning for adaptation to climate change in LDCs.</p>					
	Indicator	Baseline	Targets End of Project	Source verification	of Risks and Assumptions
<p>Project Objective To strengthen institutional and technical capacities for iterative development of comprehensive NAPs in LDCs</p>	<p>Number of countries sensitised on functional and operational individual, institutional and systemic capacities required to develop and advance medium- to long-term National and sub-national Adaptation Plans and budgets including use of national systems through Ministries of Finance and local government to channel climate adaptation finance</p>	<p>Almost all LDCs have finalised and are at various stages of implementation of their urgent and immediate adaptation plans (NAPAs) with each having different levels of capacity to do so and unclear or overlapping mandates of institutions. Some LDCs have reported on long-term climate scenarios and their impacts under their National Communications with some having also reported on adaptation options and/or technologies as well as plans to integrate climate change adaptation into long-term planning processes.</p> <p>Some LDCs are advancing sector specific and cross-sectoral adaptation and development processes through low emission-climate resilient development, green economy, environment-poverty mainstreaming and others with limited coordination between these initiatives</p>	<p>All LDCs have been sensitised on functional and operational individual, institutional and systemic capacities required to develop and advance medium- to long-term National Adaptation Plans</p>	<p>Reports to UNFCCC COPs and SBs</p> <p>Report of consultations with country level stakeholders on NAP related work plans</p> <p>Survey at the start of the project to further identify individual country capacities and needs.</p> <p>Reports on the case studies and/or piloted activities</p>	<p>Government decision-makers continue to recognise the importance of climate change adaptation and are committed to facilitating the necessary processes required in alignment with existing medium- to long-term planning processes and cycles</p> <p>Funding support is made available in time to enable the NAP process to proceed with minimal delays and constraints</p> <p>Key institutions recognise the economic benefits of embarking on comprehensive adaptation planning and integrating adaptation needs in development plans</p>

		Weak institutional planning processes and mechanisms to pull together and build on from achievements realised through the NAPA formulation and implementation process			
<p>Component 1 Institutional support</p> <p>Outcome 1 Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets</p>	<p>Number of country-specific national and subnational finance strategies building on national systems developed to enable countries with processes to move forward with medium- to long-term climate resilient planning and budgeting process including the use of budget markers to track climate adaptation expenditure</p> <p>Number of countries with institutional arrangements and trained capacities in place to advance towards medium- to long-term climate resilient planning and budgeting at national and subnational levels</p>	<p>Almost all LDCs have developed urgent and immediate plans for adaptation and other related climate change strategies and started their implementation with some having coordination mechanisms in place to integrate them into the development process as well as other elements which could be used for medium- to long-term planning</p> <p>Almost all LDCs report on lack of capacity, data, expertise, institutions and financial resources to undertake medium- to long-term orientated impact assessment and adaptation planning;</p>	<p>By the end of the project at least 12 LDCs requesting support from this initiative have conducted needs assessments, identified inputs required and finalised NAP papers to advance to medium- to long-term adaptation planning processes</p> <p>By the end of the project at least 12 LDCs requesting support from this initiative have trained capacities and clear institutional mandates in place to move towards adaptation planning processes in the context of their development strategies</p>	<p>NAP papers</p> <p>Stocktaking/gap assessment reports submitted to project team</p> <p>Annual Progress reports to the project steering committee</p> <p>Surveys conducted at the start of the project to identify individual country capacities and training needs will be assessed throughout the life of the project</p>	<p>Detailed guidelines for national adaptation planning and preparation are developed by the LDC Expert Group by December 2012.</p> <p>Evolving UNFCCC, Adaptation Committee and LEG guidance continues to support the medium- to long-term adaptation planning process</p> <p>Key Government representatives and stakeholders recognise the value engaging in regular debate about the medium- to long-term implication of climate risks and adaptation</p> <p>Senior planners and decision-makers continue to recognise the importance of climate change adaptation and are committed to support necessary policy changes</p>
<p>Output 1.1, Stock-take of information and processes that are of relevance to the NAP process in the country and identification of key gaps to integrate climate change into medium- to long-term planning processes. This will include ensuring that key stakeholders are engaged in taking stock of on-going initiatives of relevance to NAPs, defining the scope of key requirements and expectations, and assessing the gaps and needs – in terms of information, skills and institutional capacity – for advancing medium- to long-term planning and budgeting processes for adaptation in the context of country specific planning processes and guidance emerging from the COP.</p>					
<p>Output 1.2. National and sub-national institutional and coordination arrangements established/strengthened in 12 LDCs, including financial and other requirements for advancing medium- to</p>					

long-term adaptation planning and budgeting.

Output 1.3.

NAP papers are formulated, including elements for monitoring the progress of their implementation. The NAP papers will be country-specific and flexible, outlining country-specific gaps that need to be filled, budget support required (including an inventory of national or international expertise and other inputs), and timelines for deliverables related to the advancement of NAPs, including reporting on progress to the LEG, AC, UNFCCC subsidiary bodies, etc. The NAP papers will contain information that can be submitted to the LDCF and/or other funding sources with the aim of obtaining the additional finance necessary to support and advance the NAP process in the country concerned.

<p>Component 2 Technical support</p> <p>Outcome 2 Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs</p>	<p>Number of technical tools, detailed methodologies (by sector) available to support medium- to long-term adaptation planning and planning in all key sectors and at national and sectoral levels drawing on skills of both climate experts and public financial management experts</p> <p>Number of case studies for medium- to long-term adaptation planning and budgeting developed drawing on both climate experts and public financial management experts</p>	<p>There exists limited knowledge on VIA among LDCs, it is not organised, well communicated and remains scarcely understood except in academic settings.</p> <p>Some guides for assessing and designing adaptation exist, but are weak in methods to cost, prioritise and design national programmes covering all key sectors and targets.</p> <p>Policy guidance for integrating climate change adaptation into national development planning is weak.</p>	<p>By the end of the project, appropriate guides and related resource materials developed and dispersed through workshops and existing knowledge dissemination websites (APAN, ALM),</p> <p>At least 5 case studies on the impact of the applications of the guides and other resource materials developed</p>	<p>Workshop reports</p> <p>Website</p> <p>Reports on Case Studies</p> <p>Semi-annual reports from participating countries</p> <p>Surveys at start of project to determine existing knowledge continuously monitored</p>	<p>Countries undertaking the transition process have access to project information</p> <p>Tools and approaches developed by the project are considered practical, locally appropriate, innovative, sustainable and cost effective</p> <p>Key Government representatives and stakeholders recognise the value of project-related training initiatives</p>
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Output 2.1

Technical guidance tools and detailed methodologies by sector, policy materials, guiding principles, case studies on lessons and good practices made accessible in local languages and usable formats to all LDCs, developed in partnership with relevant stakeholders. Effort will be made to use existing sectoral guidance and support, as is being developed by other organisations, rather than create new ones. For example, for health, WHO is currently developing guidance that covers vulnerability and assessments, economic tools, gender, early warning systems, indicators for health system resilience and health sector-related NAP guidance.

Output 2.2

National teams are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.

Output 2.3

Web-based training materials prepared for use by all LDCs as they commence their respective NAP processes.

<p>Component 3 Brokering knowledge of</p> <p>Outcome 3 Exchange of lessons and knowledge</p>	<p>Number of region-specific knowledge exchange forums conducted focused on formulating and preparing NAPs (UNEP)</p> <p>Number of partnerships</p>	<p>Relevant government entities and other stakeholders in LDCs have limited knowledge of available tools and methods to support their effort in advancing to medium- to long-term</p>	<p>At least 5 partnerships with global and regional knowledge management institutions established to support countries with NAPs</p>	<p>Qualitative surveys</p> <p>Surveys to determine needs identified by participating countries</p>	<p>Sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information.</p> <p>Sufficient cooperation between external donors to align initiatives of relevance to the NAP process</p>
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<p>through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process</p>	<p>with global and regional knowledge management institutions established to support countries with NAPs (UNDP)</p>	<p>adaptation planning processes in the context of their development strategies</p> <p>LDC government entities have limited partnerships with global and regional institutions to implementing urgent and immediate adaptation needs and no partnerships for medium- to long-term adaptation planning.</p> <p>No communication and outreach strategy for support to medium- to long-term adaptation planning.</p> <p>No newsletter or other communication tools for support to medium- to long-term adaptation planning in place as yet</p>		<p>Progress reports</p>	
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Output 3.1
 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 are captured, synthesised and made available to all LDCs to utilise in advancing the NAP process.

4. TOTAL BUDGET AND WORK PLAN

Award ID:	00072738	Project ID(s):	00085792
Award Title:	National Adaptation Plan		
Business Unit:	UNDP1/B0100 (UNDP/GEF B-Department_		
Project Title:	Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPS)		
PIMS no.	5246		
Implementing Partner (Executing Agency):	UNDP		

SOF (e.g. GEF) Outcome/Atlas Activity	Responsible Party/ Impl. Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Description	Budget	Amount Year 1 (USD)	Amount Year 2 (USD)	Total (USD)	See Budget Note:
OUTCOME 1:	UNDP	62160	LDCF	71200	Consultants (international)		290,000	290,000	580,000	a
				71300	Consultants (national)		50,000	50,000	100,000	b
				71600	Travel		16,500	16,500	33,000	c
				73100	Rental & maintenance-Premises		13,500	10,500	24,000	d
					Total Outcome 1		370,000	367,000	737,000	
OUTCOME 3:	UNDP	62160	LDCF	71600	Travel		150,000	0	150,000	e
				71200	Consultants (international)		5,000	25,000	30,000	f
					Total Outcome 3		155,000	25,000	180,000	
Project management Unit	UNDP	62160	LDCF	71300	Consultants (national)		16,000	24,000	40,000	g
				72500	Office & running costs		21,000	21,000	42,000	h
					Total PMU		37,000	45,000	82,000	
PROJECT TOTAL							562,000	437,000	999,000	

Budget notes

a	cost of a technical specialist to lead programme @US\$250,000 pro-forma cost/year; cost of international consultants specialized in climate modelling, economics of adaptation, stakeholder engagement to support training events @ US\$500/day x 26.67 days x 3 events x 2 years
b	cost of national consultants to support organization and training of LDC participants; @ US\$300/day x 55.56 days * 3 events x 2 years
c	cost of travel for the international consults (air ticket plus DSA costs approximated at \$5500/mission). 3 missions to countries per year of the programme
d	rental space for office of project team.
e	cost of bringing a participants from an LDC to a regional meeting at US\$1013 each
f	cost of international experts at cost of \$550 per day for 65 days in total
g	cost of a project manager, project execution, monitoring and evaluation
h	Office and general running costs of the project including equipment (laptop, printer, printing costs)

Summary of Funds

	Year 1	Year 2	Total
• LDCF (UNDP)	562,000	• 437,000	• 999,000
• LDCF (UNEP)	• 495,000	• 504,000	• 999,000*
• TOTAL	1,057,000	• 941,000	• 1,998,000

*see separate UNEP project document.

5. MANAGEMENT ARRANGEMENTS

69. At a global level, the initiative on “Assisting Least developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)” is overseen by UNDP and UNEP as GEF Implementing Agencies (IAs). However, there are two distinct project documents that outline what each agency will be responsible for within the framework of a common logical framework (see annex).
70. This project document outlines arrangements governing Outcome 1 (Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets) and Outcome 3 (Development of Partnerships in the context of Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process) that is overseen by UNDP.⁴⁰
71. The project (PIMS: 5246; ID: 00072738/00085792) is directly aligned with the [BDP Outcome 62](#) and will be executed under UNDP’s Direct Implementation Modality (DIM). UNDP-Asia Pacific Regional Centre (APRC) has agreed to function as a responsible UNDP-APRC will be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, organisation of regional and national workshops. The costs of UNDP-APRC services will be borne from the Project Management Cost budget. UNDP/GEF will delegate spending authority to APRC, the budget will be set up by UNDP/GEF under B0441 APRC B-dept. UNDP/GEF will approve the budget, and UNDP-APRC can spend within the approved spending limits. The project will be overseen by a UNDP-GEF Task Manager while day-to-day management will be undertaken by a Project Manager who will be recruited (and paid for by project)
72. **Project Board:** There will be a Project Board (PB) for the UNDP-administered project (and this will be same Board for the UNEP administered project). The PB will be the strategic decision-making body of the project. It will provide overall guidance and direction to the project, and also be responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in project strategy or implementation approach. The PB will meet once per year, within the margins of UNFCCC events and/or LEG events and/or virtually, and consist of:
- i) One representative from UNDP (Co-chair);
 - ii) One representative from UNEP (Co-chair);
 - iii) One representative from LDC group
 - iv) One representative from the GEF-LDCF secretariat;
 - v) One representative from the UNFCCC Secretariat / LEG;
 - vi) Two representatives from countries supported by the initiative (selected by UNFCCC Secretariat and the LEG); and
 - vii) One representative from any of WHO, IFAD, UNITAR, and FAO who are also in the process of establishing relevant support mechanisms to help LDCs with advancing their NAPs.
73. Other relevant stakeholders may participate in meetings as observers as needed, or upon approval by the Board, as Board members. The PB will review progress towards project implementation at regular intervals (but at least annually), or as required, at the request of the Lead Technical Specialist. The PB will also approve the annual work plan prepared by the Lead Technical Specialist, with the assistance of the Project Management Unit, The annual work plan will be the instrument of authorisation through which the Lead Technical Specialist and his/her team will deliver results. Additional functions of the PB are to: i) ensure that LDCF resources are committed exclusively to

⁴⁰ Note: UNEP will provide oversight of Outcome 2 (Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs), and Outcome 3 (Region-specific knowledge exchange forums conducted focused on formulating and preparing NAPs in the context of Exchange of lessons and knowledge through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process).

activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; ii) arbitrate significant conflicts within the project; and iii) negotiate a solution to major problems that may arise between the project and external bodies. 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 LEG meetings that are scheduled 2-3 times a year. The Project Board is expected to interact with the various UNFCCC processes including the LEG, UNFCCC secretariat and AC.

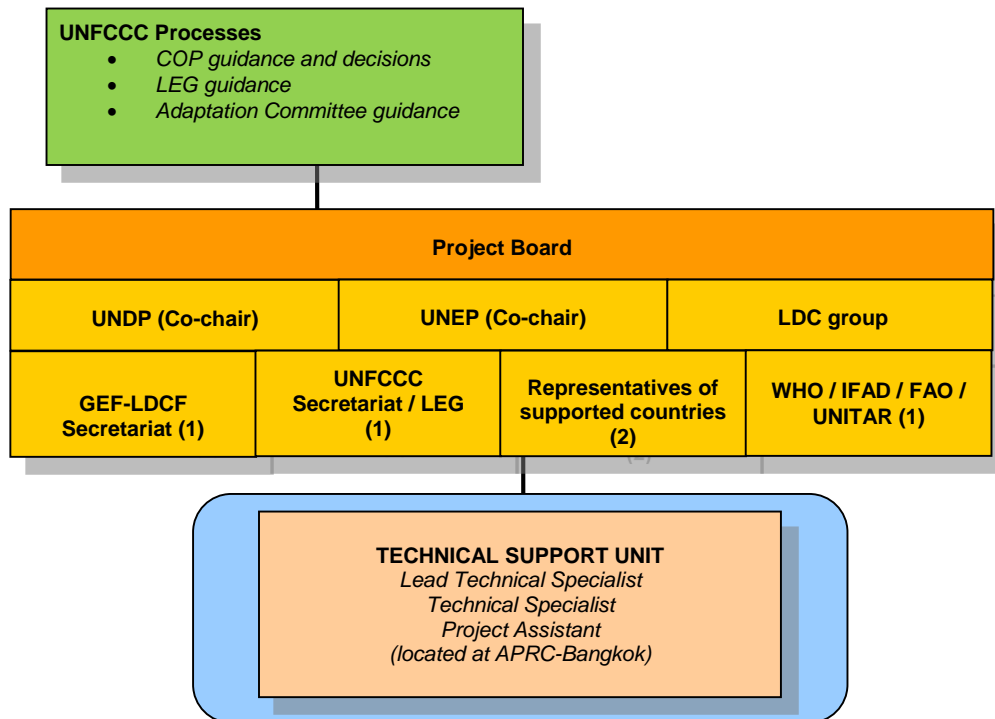


Figure 1. Proposed institutional framework for providing targeted and country-specific assistance to LDCs.

74. **Responsible Parties:** Other organisations that are involved in this initiative as potential UNDP designated Responsible Parties and/or collaborative partners (e.g. UNITAR, IFAD, WHO, FAO) will work closely with the Technical Support Unit (TSU) to implement activities and deliver outputs that are under their mandate in accordance with the Stakeholder Involvement Plan, which will be finalised in the project’s inception phase and aligned with the project’s first annual work plan. Whenever possible, Responsible Parties will assume responsibility for the delivery of project Outputs based on agreed Terms of Reference. The TSU will facilitate the selection of an appropriate Responsible Party for the relevant Outputs and Outcomes.

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

- i) Lead Technical Specialist – UNDP (TOR in Annex IV); and a
- ii) Technical Specialist – UNEP (TOR in Annex IV)

76. **Project Support:** The Project Support role provides administrative support to the two Technical Specialists. For this purpose, 1 Project Assistant will be recruited by the project (TOR in Annex IV)
77. **Project Assurance** - UNDP and UNEP, through their GEF units will provide technical oversight services for this project. They will ensure project monitoring and evaluation according to an agreed schedule and in line with UNDP, UNEP and GEF requirements, as described further in Section 6 below. UNDP and UNEP will assist in compiling lessons learned and sharing project experiences on a national, regional and international basis. For example, UNDP's regional and country presence – through the Country Offices – will enable this agency to successfully implement the NAP paper formulation (under Component 1) in each of the 12 LDCs to receive direct support under this proposed support mechanism. UNEP's regional presence – through regional adaptation networks such as GAN, APAN and AAKNet – will enable this agency to successfully implement the sharing and dissemination of knowledge (under Component 3) for accessibility to all LDCs, regional initiatives and other parties.

6. MONITORING AND EVALUATION FRAMEWORK

78. Project monitoring and evaluation will be conducted in accordance with established UNDP, UNEP and GEF procedures and will be undertaken by the project team under the oversight of the UNDP-GEF units based in Bangkok and the UNEP Division for Programme Implementation (DEPI) in Nairobi respectively. The Project Results Framework in Section 3 provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis of the project's Monitoring and Evaluation system. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to some major M&E milestones are provided in Table 3.
79. **Project Inception Workshop:** A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organisation structure, member of the project board and other relevant stakeholders as necessary. The Inception Workshop is crucial to building ownership for the project and to plan the first year annual work plan. The Inception Workshop will address a number of key issues including:
- i) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP and UNEP staff *vis à vis* the project and finalise a stakeholder involvement plan.
 - ii) Discuss the roles, functions, and responsibilities within the project's decision-making, management, assurance and advisory structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and other project-related structures will be discussed again as needed in order to clarify for all, each party's responsibilities during the project's implementation phase.
 - iii) Review and agree on the indicators, targets and their means of verification in the Project Results Framework as well as recheck assumptions and risks.
 - iv) Provide a detailed overview of reporting, M&E requirements, including roles and responsibilities for different M&E functions, with a particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Project Review (APR) as well as mid-term and terminal evaluations. The M&E work plan and budget should be agreed and scheduled.
 - v) Discuss financial reporting procedures and obligations, and arrangements for annual audit, including UNDP project related budgetary planning, budget reviews, and mandatory budget rephasings.
 - vi) Plan and schedule PB meetings. The first PB meeting should be held within the first 12 months following the Inception Workshop.
 - vii) An Inception Workshop Report is a key reference document and must be prepared and shared with participants to formalise various agreements and plans decided during the inception workshop.

80. **First Annual Work plan:** After the Inception Workshop, the TSU will prepare the project's first Annual Work Plan (AWP), on the basis of the Project Results Framework. This will include reviewing the project's indicators, means of verification, assumptions and risks, imparting additional detail as needed, and on the basis of this exercise finalise the AWP with precise and measurable performance indicators, and in a manner consistent with the expected Outcomes for the project.
81. **Quarterly Reporting:** Progress made shall be monitored by UNDP and UNEP. A risk log shall be regularly updated in ATLAS, and no less often than every six months where critical risks have been identified. Quarterly Progress Reports (QPR) will be prepared by the TSU for sharing with the UNDP Regional Coordination Unit.
82. **Annual Reporting:** The APR/PIR is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines UNDP, UNEP and GEF reporting requirements and is to be completed by the project in the prescribed report format by 1st August of each year. 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).
 - Lessons learned/good practices.
 - AWP and other expenditure reports
 - Risk and adaptive management
83. **Mid-term of project cycle:** As a medium size project no mid-term evaluation is necessary. Workshops organized in midway could be used to evaluate the progress of the project.
84. **End of Project Cycle:** An independent Final Evaluation, as a desk review, will take place three months prior to the final PB meeting, and will be undertaken in accordance with UNDP, UNEP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of the adaptation alternative proposed by this project document. The Terms of Reference for this evaluation will be prepared based on guidance from the UNDP RCU. The Final Evaluation will 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 Centre and UNEP's Office of Evaluation. During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarise the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.
85. **Audit Clause:** The project will be subject to standard DEX audit procedure as per UNDP financial regulations, rules and audit policies.

Table 3. M&E Budget of the project (for UNDP administered project)

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	Project Manager	5,000	Within first 2 months of project start up

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Measurement of Means of Verification of project Outcomes	Project Manager will oversee the hiring of specific support as appropriate and delegate responsibilities to relevant team members.	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	Project Manager	None	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	Project manager and team UNDP and UNEP	None	Annually
Periodic status/ progress reports	Project manager and team	None	Quarterly
Final Evaluation	Project manager and team, UNDP and UNEP External Consultants (mixed local/int. team)	12,500	At least three months before the end of project implementation
Project Terminal Report	Project manager and team local consultant (mixed local/int. team)	0	At least three months before the end of the project
Visits to field sites	UNDP and UNEP* TSU and consultants	None	Yearly
TOTAL indicative COST		US\$ 17,000	

*For LDCF supported projects, paid from IA fees (UNDP / UNEP staff) and operational budget (TSU and consultants)

7. LEARNING AND KNOWLEDGE-SHARING

86. Results from the project will be consistently disseminated within and beyond the timeframe of the project. UNDP and UNEP are connected to a number of well-established information sharing networks and forums – such as the ALM⁴¹, the Regional Climate Change Adaptation Knowledge Platform for Asia/Pacific⁴² and the Global Adaptation Network⁴³ – which will provide the regional and global connecting points for the exchange of project knowledge. The project will participate, as relevant and appropriate, in scientific, policy-based and/or other relevant knowledge networks, which may be of benefit for the project. An effort will be made to establish a systematic exchange of knowledge with the global and regional knowledge institutions and centres of excellence to identify, analyse, and share lessons learned that might be beneficial to the design and implementation of NAP support initiatives. For example, efforts will be made to feed relevant knowledge into, and draw relevant knowledge from, dedicated knowledge and programming initiatives undertaken by FAO and IFAD on climate smart agriculture. This includes active collaboration with IFAD's ASAP, which will catalyse further outreach and multiplier effects in partner countries. The project will also draw from UNITAR's experience and networks, as well as from established climate change learning and knowledge sharing programmes such as UN CC:Learn and the Capacity Development for Climate Change Adaptation programme.

8. LEGAL CONTEXT

87. This document together with the Country Programme Action Plan (CPAP) signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the Standard Basic Assistance Agreement or other appropriate governing agreement and all CPAP provisions apply to this document. Consistent with the Article III of the Standard Basic Assistance Agreement, 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:

- i) 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; and
- ii) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

88. 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.

85. 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)⁴⁴. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

⁴¹ Website: <http://www.adaptationlearning.net>.

⁴² Website: <http://www.asiapacificadapt.net/>.

⁴³ Website: <http://www.ganadapt.org/> (to be launched in 2013).

⁴⁴ The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

LIST OF ANNEXES

ANNEX I: List of Least Developed Countries

ANNEX II: UNDP, UNEP and Other Initiatives of Relevance

ANNEX III: Toolkits and Guidance Materials of Relevance to Medium- to Long-term Planning

ANNEX IV: Terms of Reference for Key Project Entities and Project Staff

ANNEX I: List of Least Developed Countries⁴⁵

Afghanistan	Madagascar
Angola	Malawi
Bangladesh	Mali
Benin	Mauritania
Bhutan	Mozambique
Burkina Faso	Myanmar
Burundi	Nepal
Cambodia	Niger
Central African Republic	Rwanda
Chad	Samoa
Comoros	Sao Tome and Principe
Democratic Republic of the Congo	Senegal
Djibouti	Sierra Leone
Equatorial Guinea	Solomon Islands
Eritrea	Somalia
Ethiopia	Sudan
Gambia	Timor-Leste
Guinea	Togo
Guinea-Bissau	Tuvalu
Haiti	Uganda
Kiribati	United Republic of Tanzania
Lao People's Democratic Republic	Vanuatu
Lesotho	Yemen
Liberia	Zambia

⁴⁵ According to the United Nations Conference on Trade and Development:
<http://unctad.org/en/Pages/ALDC/Least%20Developed%20Countries/UN-list-of-Least-Developed-Countries.aspx>

ANNEX II: UNDP, UNEP and Other Initiatives of Relevance

Elements of NAPs ⁴⁶	Relevance of initiatives
<p>1. Laying the groundwork and addressing gaps <i>Activities undertaken under this element would be planned with a view to identifying weaknesses and gaps in enabling environments, and addressing them as necessary, to support the formulation of comprehensive adaptation plans, programmes and policies, through, inter alia:</i></p> <p>(a) <i>Identification and assessment of institutional arrangements, programmes, policies and capacities for overall coordination and leadership on adaptation;</i></p> <p>(b) <i>Assessment of available information on climate change impacts, vulnerability and adaptation, measures taken to address climate change, and gaps and needs, at the national and regional levels;</i></p> <p>(c) <i>Comprehensive, iterative assessments of development needs and climate vulnerabilities.</i></p>	<ol style="list-style-type: none"> 1. In 2001, under the guidance of the UNFCCC COP, UNDP and UNEP, in partnership with the GEF, led support to LDCs with identifying and addressing their urgent and immediate needs related to adaptation. 2. UNDP and UNEP, again in partnership with the GEF, have assisted over 150 countries to develop their first, second and third National Communications to the UNFCCC. As part of this support, the organisations, using the mechanism of a Support Programme (that is, a mechanism to make available dedicated staff to assist countries on an individual and/or as groups), have provided technical services and overseen the development of vulnerability and adaptation assessments, many of which play a critical role in directing finance towards priority interventions. UNDP and UNEP are currently in the process of assisting a number of countries with the preparation of their Third National Communications to the UNFCCC. 3. UNDP/ Government of Japan financed Africa Adaptation Programme (AAP): This regional programme, led by UNDP's Regional Bureau for Africa and Arab States in partnership with the Environment and Energy Group, along with United Nations Industrial Development Organisation (UNIDO), the United Nations Children's Fund (UNICEF) and the World Food Programme (WFP) works with 20 countries in Africa, of which half are LDCs. The AAP Programme supports the participating governments to achieve transformational change designed to shift climate change adaption planning and interventions from siloed, single-sector project approaches to a comprehensive, strategic approach characterised by multiple-sector integrated planning. 4. In 2010 and 2011, UNDP invested a large share of its core resources in LDCs, with over 20% of all programmatic resources (approximately \$2billion) allocated for activities in LDCs⁴⁷. In particular, 24% of such resources were focused on programmes to reduce poverty and achieve the MDGs, 26% on programmes to foster democratic governance, 19% on activities aimed at crisis prevention and recovery and 17% to support work on environment and sustainable development. 5. Similarly, UNEP, whose mandate⁴⁸ is inclusive of LDCs, has put LDCs in the centre of its mid-term strategy and programme of work. A significant portion of UNEP's overall capacity building budget benefits directly and indirectly LDCs. During the biennium 2010-2011, UNEP continued to support LDCs through its six sub-programmes such as climate change, disasters and conflicts, harmful substances and

⁴⁶ As adopted through UNFCCC Decision 5/CP.17

⁴⁷ SG's Report on the "Implementation of the Programme of Action for the Least Developed Countries for the Decade 2011-2020" (IPOA) 2012 Substantive Session of the ECOSOC and 67th Session of the GA

⁴⁸ To be the leading global environmental authority for setting the global environmental agenda that promotes the coherent implementation of global environmental dimension of sustainable environment within the United Nation system and that serves as an authoritative advocate for global environment.

	<p>hazardous waste, environmental governance ecosystem management, resource efficiency and sustainable consumption and production.</p>
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<p>2. Preparatory Elements <i>In developing NAPs, consideration would be given to identifying specific needs, options and priorities on a country-driven basis, utilising the services of national and, where appropriate, regional institutions, and to the effective and continued promotion of participatory and gender-sensitive approaches coordinated with sustainable development objectives, policies, plans and programmes. Activities may include:</i> <i>(a) Design and development of plans, policies and programmes by considering decision 1/CP.16, paragraph 14 (a), to address the gaps and needs referred to in paragraph 2 above;</i> <i>(b) Assessments of medium- to long-term adaptation needs, and, as appropriate, development needs and climate vulnerabilities;</i></p>	<ol style="list-style-type: none"> 1. More than 45 LDCs were assisted by the two organisations to access and programme funding through the GEF-managed LDCF, and then, most importantly, to prepare their own country specific National Adaptation Programmes of Action (NAPA)⁴⁹. UNDP and UNEP are supporting these efforts through a suite of services including on scoping, identifying, sourcing/vetting of ideas, due diligence, appraisal, partnership development, oversight and implementation support, financial management, results management and evaluation. 2. UNEP/UNDP: CCDARE, with the support of the Danish government, provides timely technical and financial support on a demand-driven basis to countries in Sub-Saharan Africa and Small Island Developing States to address the mainstreaming of climate change into planning, policy formulation. 3. One of these critical UNDP-core funded programmes is a US\$5.6 million Strategic Initiative to Address Climate Change in LDCs, also known as 'Boots on the Ground'. This initiative provides technical and policy support to 26 countries globally, including 23 LDCs, across three key areas: 1) assistance to the international climate negotiations; 2) capacity building to access and implement climate finance; and 3) effectively integrating climate change into a country's national plans, policies and strategies to ensure development is both low-emission and climate resilient. 4. UNEP Risoe has developed guidebooks for adaptation through the TNA project. The guidebooks address Climate change adaptation in three main areas/sectors - coastal, water and agriculture. The publications aim to support good adaptation planning in the three main areas/sectors: <ul style="list-style-type: none"> • <u>Technologies for Climate Change Adaptation – Coastal Erosion and Flooding</u> This publication aims to support good adaptation planning in the coastal sector. It covers thirteen major adaptation technologies that reduce impacts of coastal erosion and flooding due to climate change. For each, the technology is described, advantages and disadvantages assessed, costs and benefits estimated, institutional or organisational requirements outlined, and detailed examples provided that illustrate how the technology can be applied. This comprehensive approach will make the guidebook a useful reference for policy makers and coastal zone project planners. Its reader-friendly style and extensive coverage also make it a good resource book for anyone interested in the topic. http://tech-action.org/Guidebooks/TNA_Guidebook_AdaptationCoastalErosionFlooding.pdf • <u>Technologies for Climate Change Adaptation – The Water Sector</u> This guidebook aims to provide expert information on the technologies most relevant for climate change adaptation in the water sector in developing countries. It is meant to be a practical tool for use by a broad range of stakeholders, including those in governmental agencies, water utilities, community water boards, non-governmental organisations, and private sector companies. The guidebook first reviews the projected impacts of climate
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⁴⁹ UNDP has supported 31 LDCs to prepare their NAPAs, and UNEP has assisted an additional 15 LDCs with financing from the GEF-managed LDCF. To-date, UNDP has helped 33 LDCs to access approximately \$190m in climate financing and implement 49 adaptation development projects funded by the Least Developed Country Fund (LDCF, Special Climate Change Fund (SCCF), Adaptation Fund, European Commission, Government of Germany (BMU), and Government of Australia (AusAID). Similarly, UNEP 's portfolio on adaptation with a strong focus on LDCs as mandated by its governing council including the GEF-managed finance counts over 120 projects implemented/under implementation with a total funding of over \$100m.

<p>(c) Activities aimed at integrating climate change adaptation into national, sectoral and local development and sectoral planning;</p> <p>(d) Participatory stakeholder consultations;</p> <p>(e) Communication, awareness-raising and education.</p>	<p>change on the water sector. It then addresses the role of adaptation in the water sector and six typologies under which available strategies are categorised. Eleven technologies and practices are given detailed treatment in this guidebook and four others are covered briefly. While these do not constitute all of the adaptation technologies available in the water sector, they do represent many of the most important adaptation technologies for developing countries.</p> <p>http://tech-action.org/Guidebooks/TNA_Guidebook_AdaptationWater.pdf</p> <ul style="list-style-type: none"> • Technologies for Climate Change Adaptation – Agriculture Sector This guidebook provides information on 22 technologies and options for adapting to climate change in the agriculture sector. It describes what policy makers, development planners, agriculture experts and other stakeholders in countries should consider while determining a technology development path in agriculture. NGOs, rural communities and agricultural practitioners could examine and include appropriate options in their portfolios of technologies and options for agriculture. The guidebook is expected to stimulate further work on identifying options for climate change adaptation in the agricultural sector in different parts of the world. http://tech-action.org/Guidebooks/TNA_Guidebook_AdaptationAgriculture.pdf • Financing Guidebook This guidebook reviews options for international financing of adaptation activities and projects in developing countries. It examines both public and private sources of funding and presents the most important technical criteria and concepts used by public donors and private financiers in evaluating proposals.
<p>3. Implementation strategies</p> <p>Activities carried out as part of the implementation strategies would take into consideration:</p> <p>(a) Prioritising work according to development needs and climate change vulnerability and risk;</p> <p>(b) Strengthening institutional and regulatory frameworks to support adaptation;</p> <p>(c) Training and coordination at the sectoral and local levels;</p> <p>(d) Public dissemination of information on the national adaptation plan process, to be</p>	<ol style="list-style-type: none"> 1. Technical officers across different ministries in LDCs were supported by UNDP and UNEP to implement activities (e.g. analysis of climate change scenarios, prioritisation of adaptation options, conducting stakeholder consultations in a multi-sectoral, multi-disciplinary settings, etc) so that countries could finalise their NAPA in a technically robust and cost-effective and timely manner. Peer-to-peer learning and exchange was also facilitated by the organisations, in partnership with other Agencies and technical institutions, which was critical to ensure that countries learned from each other and this reflected in the form of improved quality of the NAPA. 2. UNDP and UNEP have provided specialised technical support to LDCs to implement those NAPA priorities that the countries' chose to implement with funding from the LDCF as well as other sources such as the SCCF, AF and/or bilateral funds. There are currently over 50 such initiatives under implementation across LDCs, with UNDP supporting more than 35 initiatives in 27 countries, and UNEP supporting more than 10 countries. These projects, often with average funding between \$4-6 million each (over 3-4 year periods), and leveraging substantially much more, are advancing the integration of climate change into policy formulation, creating of enabling environments for climate resilient practices by the public and private sector as well as households, developing technical competencies, creating knowledge products, facilitating and sharing knowledge within countries and between countries and so on. In the context of these initiatives, UNDP and UNEP are supporting on-going work in LDCs in key areas such as food security, water resources management, coastal resources, and infrastructure. 3. UNEP/UNDP/IUCN Ecosystem Based Adaptation Programme with funding from the German Government: The project is to strengthen the capacities of Nepal, Peru and Uganda for ecosystem resilience to promote ecosystem based adaptation

<p><i>made available to the public and to the UNFCCC secretariat,</i></p> <p><i>(e) Considering other relevant multilateral frameworks and international programmes and initiatives, with a view to building on and complementing existing adaptation planning.</i></p>	<p>(EBA) options and to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems.</p> <p>4. UNDP/UNEP/FAO: The UN-REDD Programme helps countries to reduce emissions from deforestation and forest degradation in order to generate funds that could be used by communities to improve sustainable management of forests, strengthen the role of conservation, shift the forest sector to alternative development pathways, and support biological diversity and livelihoods.</p> <p>5. One UN MDG-F(with joint UNEP and UNDP implementation and execution)/ Government of Spain finance: the project 'Integrating climate change risks into national development processes and UN Country Programming' (Climate Risk Project) between 2008 and 2011. The project was implemented in Cape Verde, Colombia, El Salvador, Panama, Peru, Turkey, Malawi, Mozambique, Ethiopia, Egypt, China, Philippines and Nicaragua, with the objective of supporting UNDP Country Offices and UN Country Teams and their government counterparts to integrate climate change considerations into national development plans</p> <p>6. UNDP and UNEP Poverty-Environment Initiative (PEI): Since 2005. UNDP/UNEP PEI supports country-led efforts to mainstream poverty-environment linkages into national development planning and budgeting. Financial and technical assistance is provided to government partners to set up institutional and capacity strengthening programmes in the poverty-environment context including climate adaptation.</p> <p>7. UNDP's Ecosystems and Biodiversity (EBD) work focuses on maintaining and enhancing the beneficial services provided by natural ecosystems in order to secure livelihoods and the provision of food, water and health, and to reduce vulnerability to climate change, store carbon and avoid emissions from land use change. By providing sound policy advice, and developing and implementing programmes that help demonstrate sound ecosystem and natural resource management practices on-the-ground and build capacity to sustain them, UNDP EBD is currently helping 23 LDCs to conserve and sustainably use biodiversity, and to secure ecosystem services that are vital to human welfare and their development efforts. An additional 12 LDCs will soon be supported by projects that are now in the pipeline. These projects are financed by the Global Environment Facility (GEF), bilateral donors, and UNDP core funds.</p> <p>8. UNEP's Flagship programme – Ecosystem Based Adaptation (EBA) uses biodiversity and ecosystem services as part of an overall adaptation strategy to help people and communities adapt to the negative effects of climate change at local, national, regional and global levels. In addition to protection from climate change impacts, EbA also provides many other benefits to communities, for example through the maintenance and enhancement of ecosystem services crucial for livelihoods and human well-being, such as clean water and food. Appropriately designed ecosystem management initiatives can also contribute to climate change mitigation by reducing emissions from ecosystem loss and degradation, and enhancing carbon sequestration. Through the Ecosystem-based Adaptation Programme, UNEP works to develop effective EbA approaches, and helps vulnerable communities adapt to climate change through good ecosystem management practices and their integration into global, regional, national and local climate change strategies and action plans. UNEP's EbA Flagship is being implemented in diverse ecosystem settings, including mountains, river basins, dry-lands and low-lying coasts. The work is delivered through three main overarching components:</p> <ul style="list-style-type: none"> • Assessments and knowledge support;
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- Capacity building and demonstration; and
- Integration of EbA options into national development and adaptation plans.

9. UNEP's Ecosystem Management Programme is centred on the functioning and resilience of the ecosystems and the services they provide. The programme aims to support countries and regions to: (a) increasingly integrate an ecosystem management approach into development and planning processes; (b) acquire the capacity to use ecosystem management tools; and (c) realign their environmental programmes and financing to tackle the degradation of selected priority ecosystem services. The programme is guided by five major interlinked elements: human well-being, indirect and direct drivers of change, ecosystem functioning and ecosystem services. As ecosystem services are interlinked and cannot be treated in isolation, UNEP promotes a holistic perspective for dealing with bundles of interlinked services to reverse their decline through improved ecosystem functioning and increased resilience.

10. UNDP, in collaboration with USAID's ADAPT Asia-Pacific Programme is working to strengthen the capacity of technical officers in Ministries of Planning/Finance as well as line Ministries (Environment, Agriculture, Water, Public Works, and others) to understand the economics of adaptation as it relates to medium- and long-term national, sub-national and sectoral development plans. The programme will also provide training to technical officers in the public and private sector to apply economic cost-benefit tools in evaluating various adaptation investment projects for financing by different funds including the Least Developed Countries Fund (LDCF), Special Climate Change Fund (SCCF), Adaptation Fund (AF) and the emerging Green Climate Fund. This capacity building program, initially launched in Asia, aims to produce a cadre of practitioners who can prepare high-quality economic analyses related to climate change adaptation projects and programs. In coordination with other on-going and planned UNDP initiatives financed by the LDCF, SCCF, AF and bi-lateral sources, as well as other UNDP-led programmes such as Climate Public Expenditure Institutional Review initiative, the program is also expected to strengthen governments' capacity to more fully integrate climate change adaptation into national, sub-national and sector planning and budgeting.

Specifically, the approach adopted in this capacity building programme will result in:

- Technical officers at the national and sub-national level trained to estimate the economic costs and benefits of climate change impacts as well as adaptation options
- Technical officers at the national and sub-national level, including others, assess the costs and benefits of climate change adaptation options in key sectors in more than 10 Asian countries
- Establishment of a region-based training programme within a suitable centre of excellence in Asia that can provide continuous technical advisory support to countries
- Convene policy dialogue forums with Ministries of Planning/Finance and line Ministries at the country and regional level to discuss the economics of adaptation in the context of national and sub-national medium and long-term national development plans
- Develop and nurture a virtual community of practice of technical officers working on the economics of adaptation in Asia

For more information, please visit <http://www.undp-alm.org/projects/cca-economics>

11. Over the last two years, UNDP has supported climate finance and development effectiveness work in a number of developing countries. A key component of this

work has been “climate public expenditure and institutional reviews” (CPEIR). The main reason for using expenditure reviews as an approach is the need to put discussions on climate finance squarely within the context of national development planning, budgeting and expenditures. Such processes are typically led by ministries of finance or planning with which, historically, we have not worked nearly enough. To date, UNDP has supported the completion of 5 studies in the Asia-Pacific region: Bangladesh, Cambodia, Nepal, Samoa and Thailand. Studies in Indonesia and Viet Nam are on-going. In all countries, the studies have been led by Ministries of Finance and/or Ministries of Planning, in coordination with Ministries of Environment and other line ministries. This work stream is relevant to the NAP related initiative. Many related off-shoots of this pioneering work can be made available to LDCs including: (a) World Bank and UNDP are developing a sourcebook on CPEIRs that other LDCs can use; (b) the Pacific Islands Forum Secretariat has incorporated CPEIR into their Climate Finance Readiness Assessment Framework, which will then be rolled out in the Pacific; (c) DfID will finance the Overseas Development Institute to undertake CPEIRs in Tanzania, Uganda and Ethiopia; and, finally, (d) UNDP is likely to expand CPEIR related work in in Southeast Asia.

12. UNEP-facilitated Global Adaptation Network and regional adaptation networks in Asia-Pacific, Latin America and West Asia as well as UNDP’s ALM work to improve countries’ access to knowledge and resources for adaptation decision-making and action, through online knowledge portals, knowledge-sharing, training and capacity building events, advisory services, and institutional and technical support.
13. IFAD’s Adaptation for Smallholder Agriculture Programme (ASAP) was launched in 2012 to make climate and environmental finance work for smallholder farmers. ASAP has a 300 million US\$ multi-year and multi-donor financing window, providing a new source of co-financing to scale up and integrate climate change adaptation across IFAD’s approximately US\$1billion per year of new investments. These investments include: i) strengthening structural robustness of processing facilities and access to markets, small water-harvesting infrastructure, flood protection measures, rural water supply, water storage facilities (over and underground) and water-use efficient irrigation systems; ii) investments in natural infrastructure such as improved resilience of riparian areas; and iii) investments in ‘software’ such as the development of knowledge, data and decision support tools on climate resilient cropping systems, adaptation policies, institution building at relevant levels, establishment of farmer associations, enhanced institutional capacities and accountability systems, and disseminating knowledge on climate-smart agriculture into national planning processes (i.e. poverty reduction strategies, agricultural policies, climate change policies).
14. As a GEF and AF implementing agency, IFAD provides specialised technical support to LDCs to implement NAPA priorities with funding from the LDCF as well as other sources such as the SCCF and the AF. IFAD is currently designing/implementing 42 GEF-funded projects for a total funding envelope of 160 Million USD. The projects cover 35 countries across 5 regions. LDCF/SCCF/AF projects are fully blended with IFAD loan programmes, therefore leveraging substantial additional resources. IFAD provides implementation support, financial management, results management and evaluation.
15. IFAD has a long history of supporting pro-poor research-for-development and capacity-building programmes through its grant programme. Many grants have provided support to research institutes and other bodies to test, adapt and disseminate technology in order to address climate variability, which is a source of

valuable lessons for mainstreaming adaptation to climate change. Examples of IFAD-supported research that are especially relevant for adaptation to climate change include: developing stress-tolerant maize varieties in sub-Saharan Africa, improvements in 'neglected' food crops (for example, cassava) of poor rural people, formulation and testing of integrated strategies to domesticate and market high-value agroforestry tree species in West and Central Africa, and research and development for salt-tolerant forage crops and saltwater irrigation techniques in West Asia and North Africa. IFAD-supported research has also focused on finding synergies between indigenous/local knowledge and applied scientific research, and on promoting empowering action learning processes towards this end. In the recent years, IFAD has stepped up its efforts to build scientific capacity and influence policy and institutional reform to facilitate the adoption of improved responses to climate change threats, as well as help in the transition to improved land management practices.

16. As part of IFAD's Environment and Natural Resources Management Policy (2011) implementation process, the Fund is mainstreaming environmental and climate change issues into Country Strategic Opportunities Programmes using Strategic Environmental Assessment (SEA). The process of piloting SEAs started in 2011 with SEA in Kenya, Egypt and Honduras in the framework of the Finnish-supported project "Strengthening IFAD's capacity to mainstream environmental and social issues in its projects and programmes" and has been expanded in 2012 to eight additional countries. This shows increased recognition of the need to better support ENRM and Climate change-related activities in the policy and programme development processes. SEAs resulted in: (i) the assessment of environmental and climate issues particularly in the agricultural sector; (ii) the identification of links with the other sectors policies, strategies and plans; (iii) the provision of recommendations including opportunities for environmental and climate-change integration in RB-COSOPs and project designs.
17. TerrAfrica is a multi-partner platform of which IFAD is an active member, which pursues common sustainable land management objectives in an integrated and comprehensive manner. The TerrAfrica strategic approach focuses on strengthening African leadership in building coalitions, sharing knowledge and aligning and leveraging investment responses to address land degradation and improve natural resource-based livelihoods in a sustainable way. Besides directly supporting specific SLM programmes under the TerrAfrica initiative, in some countries, such as Eritrea and Ethiopia, IFAD is a member of the SLM platform at the national level.
18. IFAD is an active member of the Poverty and Environment Partnership (PEP), a network of development agencies, international environmental NGOs and representatives from various developing countries' ministries which seeks to improve the coordination of work on poverty reduction and the environment within the framework of internationally agreed principles and processes for sustainable development. The annual PEP meetings provide an arena for sharing knowledge and operational experiences and improve collaboration and promotion of joint activities among partners, in particular to support government partners to set up institutional and capacity strengthening programmes in the poverty-environment context including climate adaptation.
19. UNITAR has been supporting implementation of the UN CC:Learn partnership since 2011, a growing network of 33 international organisations on climate change learning. This initiative provides: a One UN package of climate change learning resources including both introductory and advanced learning modules; a global

	<p>knowledge sharing platform (www.uncclearn.org) generating more than 15,000 hits from 190 countries from 2011/12; support for regional and global climate change learning events (such as the recent ground breaking African Dialogues on climate change finance and development effectiveness); and a country support programme to develop national learning human resource strategies to advance green, low emissions and climate resilient development. These strategies are under implementation in five countries at present with plans to service an increasing demand globally for these services.</p>
<p>4. Reporting, monitoring and review <i>These activities, including national adaptation plan documents, could be included in national strategies and plans, as appropriate. Under this element, countries should undertake a regular review, at intervals to be determined by countries:</i> <i>(a) To address inefficiencies, incorporating the results of new assessments and emerging science and reflect lessons learned from adaptation efforts;</i> <i>(b) To monitor and review the efforts undertaken, and provide information in their national communications on the progress made and the effectiveness of the national adaptation plan process.</i></p>	<ol style="list-style-type: none"> 1. Specifically, these country-led NAPA initiatives aimed to achieve the following key results: <ol style="list-style-type: none"> i) develop methods and tools to support decision making process; ii) develop technical capacities at the national, sub-national, community as well as sectoral levels to undertake prospective exercises in order to identify climate change risks and opportunities, and prepare response strategies for risk management; iii) internalise climate change risks into planning, budgeting, management and decision-making of key economic sectors; iv) revise and formulate national and sectoral policies and establish appropriate institutional support mechanisms; v) test whenever possible innovative approaches and technologies for climate change risk management in key sectors at the national and sub-national levels; and vi) codify and disseminate knowledge and good practices. 2. The experience gleaned from supporting countries with meeting their needs for the national communications, but also ensuring that information generated through these on-going efforts are brought bear on making medium- to long-term planning process climate resilient will also be necessary to ensure cost-effective and efficient use of scarce human and financial resources at the country level. 3. The two organisations also have been developing joint support programmes for the last twenty years, with examples ranging from support for National Capacity Self-Assessments (NCSAs), National Communications Support Programme (NCSP), Biodiversity Planning Support Programme for National Biodiversity Strategies and Action Plans (NBSAPs), Technology Needs Assessment (TNA) for climate change technologies, the Country Support Programme (CSP) and the National Dialogue Initiative (NDI) to list a few. These initiatives assist countries with long-term goals, monitoring and review capacities and processes.

ANNEX III: Toolkits and Guidance Materials of Relevance to Medium- to Long-term Planning

1. Catalysing Climate Finance

This UNDP guidebook is offered as a primer to countries to enable them to better assess the level and nature of assistance they will require to catalyse climate capital based on their unique set of national, regional and local circumstances.

URL: http://www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/in_focus/catalyzing-climate-finance/

2. Preparing Low Emission Climate Resilient Development Strategies - Executive Summary

This UNDP report serves as the Executive Summary to a series of manuals and guidebooks that UNDP is offering in support of Low-Emission and Climate-Resilient Development Strategies (LECRDS). It provides a brief outline of the approach and methodologies that these materials treat in detail.

URL: http://www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/in_focus/preparing-lecrds---executive-summary/

3. Applying Climate Information for Adaptation Decision-Making

This UNDP guidance document intends to provide countries with a practical tool on using climate information in their decision-making processes. This guide addresses these issues of adaptation planning under uncertainty of observed and projected climate change.

URL: www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/applying-climate-information-for-adaptation-decision-making/

4. Formulating Climate Change Scenarios

This UNDP guidebook offers project managers and decision-makers, who are working with a team of scientific and technical experts, a framework for the development of a prospective range of climate scenarios in their regions. It aims to empower project managers and decision-makers to engage in discussions on climate-scenario development, including involvement in science-based decisions on the availability, applicability, and robustness of various climate-scenario approaches.

URL: www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/in_focus/formulating-climate-change-scenarios/

5. Mapping Climate Change Vulnerability

This UNDP guidebook assists planners working at the sub-national levels to identify and map the nature of current and future vulnerability to long-term climate change so that appropriate policies and intervention can be designed and implemented.

URL: http://www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/mapping-climate-change-vulnerability/

6. Stocktaking of Tools and Guidelines to Mainstream Climate Change Adaptation

This UNDP report provides a summary of existing tools and good practices from a range of organisations to guide development practitioners in their climate change mainstreaming efforts. The components and entry points of the mainstreaming process are explored; Key climate change adaptation and mainstreaming concepts are defined; and a comparative overview of existing tools and guidelines is provided.

URL: www.undp.org/content/undp/en/home/librarypage/environment-energy/climate_change/integrating_climatechangeintodevelopment/stocktaking-of-tools-and-guidelines-to-mainstream-climate-change-adaptation/

7. Designing Adaptation Initiatives Toolkit
This UNDP guide supports the design of measurable, reportable and verifiable adaptation initiatives. It provides step-by-step guidance in designing climate change adaptation projects.
URL: www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/designing-adaptation-initiatives-toolkit/
8. Blending Climate Finance through National Climate Funds
An important tool that can help countries to make the most of climate finance is a National Climate Fund (NCF). An NCF is a country-driven mechanism that supports the collection, blending, coordination of, and accounting for climate finance at the national level. This guidebook presents a process for designing and establishing an NCF and provides a simple, robust and transparent method for meaningful stakeholder engagement. In this way, countries are better equipped to manage climate finance and achieve results.
URL: www.undp.org/content/undp/en/home/librarypage/environment-energy/low_emission_climateresilientdevelopment/blending_climatefinancethroughnationalclimatefunds/
9. Mainstreaming Poverty-Environment Linkages into development planning: A handbook for practitioners
UNEP/ UNDP capacity building resource- is designed to serve as a guide for champions and practitioners engaged in the task of mainstreaming poverty-environment linkages into national development planning. It draws on a substantial body of experience at the country level and many lessons learned by UNDP and UNEP in working with governments especially ministries of planning, finance and environment- to support efforts to integrate the complex interrelationships between poverty reduction and improved environmental management into national planning and decision making.
URL: http://www.unep.org/publications/search/pub_details_s.asp?ID=4042
10. Ecosystem Based Adaptation Decision Support - Moving from Principles to Practice
This new UNEP EBA Decision Support Framework (EBA-DSF) serves to assist national and local planners and decision-makers select, design, implement and track EBA as part of wider adaptation strategy. The EBA-DSF centers around four iterative steps and strategic considerations: Setting Adaptive Context – Selecting Appropriate Adaptation Options – Design for Change – Adaptive Implementation. The EBA-DSF provides a capacity building platform to support the implementation of National Adaptation Plans (NAPs) and other adaptation actions.
URL: <http://www.unep.org/climatechange/adaptation/Ecosystem-BasedAdaptation/EBADecisionSupportFramework/tabid/102163/Default.aspx>
11. Ecosystem Based Management Guidance
This UNEP capacity-building resource - 'Taking Steps toward Marine and Coastal Ecosystem-Based Management - An Introductory Guide' – aims to assist planners and practitioners getting started on EBM, from strategic planning to on-site implementation. The Guide outlines practical considerations in an accessible language, drawing upon experiences and lessons across the globe. An important message is that EBM is an incremental process; it can evolve from existing capacity; and there are different paths toward EBM. The guide will assist future national and regional training workshops and demonstration projects.
URL: <http://www.unep.org/ecosystemmanagement/Publications/Publication/tabid/439/language/en-US/Default.aspx?BookID=6200>
12. PROVIA – The Programme of Research on Climate Change Vulnerability , Impacts and Adaptation
This UNEP global initiative aims to provide direction and coherence at the international level for research on vulnerability, impacts and adaptation (VIA). Launched with the support of leading scientists and decision-makers, PROVIA responds to the urgent call by the scientific community for a more cohesive and coordinated approach, and the critical need to harmonise, mobilise, and communicate the growing knowledge-base on VIA. PROVIA provides scientific information to the

UNFCCC and assist to mobilise the Adaptation Fund. At present, PROVIA has two important deliverables 1) Global research priorities in VIA (Vulnerability, Impacts and Adaptation) and 2) Revised Guidance of VIA assessment tool. Both products are very important at global, regional and national levels. These products will be communicated to governments and international agencies in order to provide scientific information on VIA to the UNFCCC and assist in developing procedures and guidance leading to the development of National Adaptation Plans.

The PROVIA secretariat is currently hosted by UNEP.

URL: <http://www.provia-climatechange.org/>

13. IEA Training Manual – Climate change Vulnerability and Impact Assessment in Cities

This new UNEP developed module analyses the results of recent research on climate change, its impact on cities and options for responding. Its primary aim is to foster debate and present methodologies for evaluating the level of vulnerability and the adaptation capacity of urban centres. In recent years, as part of the process of improving the GEO Cities Methodology, and responding to important natural events, it was decided to supplement the GEO Cities Methodology with a module addressing vulnerability and adaptation to climate change, to increase the capacity of cities to analyse and prepare for future climate impacts. This module aims to strengthen awareness on possible impacts of climate change, while providing decision makers with a range of instruments to evaluate those impacts. It also provides examples of adaptation policies that could be applied by government institutions and other sectors of society.

URL: http://www.unep.org/dewa/Portals/67/pdf/VIA_Methodology.pdf

14. UNEP Handbook on Methods for Climate Change Impact Assessment and Adaptation Strategies

The UNEP methodology establishes a generic framework for thinking about and responding to the problems of sea level rise and climate change. The key output for this Handbook is the evaluation of a range of user-selected impacts of sea level rise and potential adaptation strategies according to both socioeconomic and physical characteristics.

URL: http://unfccc.int/adaptation/nairobi_work_programme/knowledge_resources_and_publications/items/5503.php

15. Africa Series policy briefs and training modules

The Africa Series of thematic policy briefs and training modules on gender and climate change, including, a general overview, adaptation, agriculture and food security, equitable energy access and climate finance. The knowledge products are designed to facilitate the work of regional and national cadres of national experts, practitioners, policy makers and other partners in mainstreaming gender into climate change policy and programming.

URL: <http://alturl.com/v48dn>

16. Gender, Climate Change and Community Based Adaptation Guidebook

This handbook presents a wealth of experiences and examples taken from the UNDP-GEF Community-Based Adaptation Programme that are being piloted throughout the world. The Guidebook will be useful for any community-based practitioners who wish to review successful cases of gender mainstreaming in community-based adaptation projects.

URL: <http://alturl.com/cnyhr>

17. Ensuring gender equity in climate change financing

This publication was launched at COP-17 in Durban. It examines the links between gender equality, climate change and achievement of the Millennium Development Goals, and suggests how climate financing can be structured to promote gender equality and women's empowerment.

URL: <http://alturl.com/fsdkg>

18. The Potential for Scale and Sustainability in Weather Index Insurance for Agriculture and Rural Livelihoods

Building on the experience of the IFAD-WFP Weather Risk Management Facility (WRMF) and the analysis of 37 index insurance programmes around the world, this paper identifies eight key principles

to help weather index-based insurance reach scale and sustainability. It also includes nine case studies (the following countries are covered: Mexico, India, Ethiopia, China, Canada, United States, Ukraine, Brazil) on index insurance programmes and outlines how donors and governments can support the sector.

URL: <http://www.ifad.org/ruralfinance/pub/weather.pdf>

19. Weather Index-based Insurance in Agricultural Development – A technical guide

A technical guide that translates the findings and experience of IFAD to date into practical decision-making steps for donors interested in promoting this risk mitigation tools.

URL: <http://www.ifad.org/ruralfinance/pub/weather.pdf>

20. Climate-smart smallholder agriculture: What's different?

IFAD occasional paper suggesting three major changes in smallholder agriculture practices as a result of climate change.

URL: <http://www.ifad.org/pub/op/3.pdf>

21. Participatory mapping

A series of tools for involving poor rural communities in planning managing and making decisions on natural resources, increasingly affected by the changes brought about by climate variability and change.

- Evaluating the impact of participatory mapping activities (2011)
URL: http://www.ifad.org/pub/map/pm_iv.pdf
- Participatory mapping and communication (2010)
URL: http://www.ifad.org/pub/map/pm_iii.pdf
- The IFAD adaptive approach to participatory mapping (2010)
URL: http://www.ifad.org/pub/map/pm_ii.pdf
- Good practices in participatory mapping (2009)
URL: http://www.ifad.org/pub/map/PM_web.pdf

22. Livestock thematic papers – tools for project design series

- Livestock and renewable energy
URL: <http://www.ifad.org/lrkm/factsheet/energy.pdf>
- Women and Pastoralism
URL: http://www.ifad.org/lrkm/factsheet/women_pastoralism.pdf
- Livestock and climate change
URL: <http://www.ifad.org/lrkm/factsheet/cc.pdf>
- Emergency livestock interventions in crisis and post-crisis situations
URL: <http://www.ifad.org/lrkm/factsheet/emergency.pdf>
- Integrated crop-livestock farming systems
URL: <http://www.ifad.org/lrkm/factsheet/integratedcrop.pdf>

23. Fisheries thematic paper

A tool for project design concerning the impact of climate change on fisheries and aquaculture in the developing world, including opportunities for adaptation

URL: <http://www.ifad.org/lrkm/pub/fisheries.pdf>

24. Community-based natural resource management: How knowledge is managed, disseminated and used

Natural resources are the foundation from which rural poor people can overcome poverty. However, planners and implementers of natural resource development projects do not always profit from the lessons learned – either information is lost or it is not easily accessible or changing circumstances may limit its value. Whatever the reason, learning from the past still makes sense. Knowledge does not wear out – although it is sometimes difficult to find, synthesise and use. It is against this challenging background that IFAD has targeted learning as one of its key products.

URL: <http://www.ifad.org/pub/other/cbnrm.pdf>

25. Water management

Tools and approaches for water management in countries affected by water stress

- Challenges and opportunities for agricultural water management in West and Central Africa: lessons from IFAD experience
URL: <http://www.ifad.org/pub/pa/field/3.pdf>
- Les petits barrages de décrue en Mauritanie - Recommandations pour la conception et la construction
URL: <http://www.ifad.org/pub/pa/mauritania.pdf>

26. Gender:

A series of thematic briefs on mainstreaming gender in natural resources management programming and policy

- Gender and desertification: Expanding roles for women to restore drylands
URL: http://www.ifad.org/pub/gender/desert/gender_desert_leaf.pdf
- Strengthening women's access to land into IFAD projects: Experiences from the field
URL: http://www.ifad.org/english/land/women_land/WomenAndLand_SynthesisReport_Eng.pdf
- Gender and desertification: Making ends meet in dry lands
URL: http://www.ifad.org/pub/gender/desert/gender_desert_leaf.pdf
- Gender and water
URL: http://www.ifad.org/gender/thematic/water/gender_water.pdf

27. Multidimensional poverty assessment tool (MPAT): A new framework for measuring rural poverty
MPAT is a multi-purpose tool that can be used to assess and support rural poverty alleviation efforts in developing countries. It focuses on assessment methods focused on rural livelihoods.
URL: <http://www.ifad.org/mpat/index.htm>

28. Capacity building

UNITAR's guidance note "Developing a National Strategy to Strengthen Human Resources and Skills to Advance Green, Low Emission, Climate Resilient Development " provides suggestions to assist interested countries in taking a strategic approach to climate change capacity building, with the goal to foster green, low emission and climate resilient development. It is based on the premise that the capacity development challenges associated with climate change are so tremendous that a special, long term and programmatic effort is required in Member States, as called for under article 6 of the UNFCCC. It responds specifically to requests from more than 30 countries who have expressed a formal interest in developing a National Strategy to Strengthen Human Resources and Skills."

ANNEX IV: Terms of Reference for Key Project Entities and Project Staff

Project Board (PB)

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

- i) One representative from UNDP (Co-chair);
- ii) One representative from UNEP (Co-chair);
- iii) One representative from the GEF-LDCF secretariat;
- iv) One representative from the LEG (Alternative chair);
- v) One representative from the UNFCCC Secretariat;
- vi) Two representatives from countries supported by the initiative (selected by UNFCCC and the LEG); and
- vii) One representative from any of WHO, IFAD, FAO or another organisation establishing relevant support mechanisms to help LDCs with advancing their NAPs.

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

Responsibilities

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

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

The TSU will be composed of the following project staff:

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

Lead Technical Specialist

The Lead Technical Specialist (LTS) will be contracted by UNDP to be responsible, on behalf of the two Agencies, for the implementation of the project. He/she will be responsible for project implementation and

working to achieve the project outcomes. The LTS will direct and guide other project staff, including day-to-day project coordination with other implementing partners. He/She will ensure that input required from the implementing partners is secured, and the project provides the required support. The LTS will be supervised by UNDP and UNEP staff involved in oversight of this project.

Responsibilities

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

Qualifications/ Requirements

- Graduate degree with at least 10 years working experience in disciplines of economics or public financial management
- Experience in managing a global umbrella/support project
- Experience in managing diverse staff
- Sound understanding of development issues
- Familiarity with the international development finance negotiations ;
- Extensive contacts with international organisations involved in development finance ;
- Excellent inter-personal, communication and negotiating skills;
- Previous work experience in a UN Organisation;
- Ability and willingness to travel;
- Demonstrable skills in computer use including word processing, spread sheets, PowerPoint;
- Excellent verbal and written skills in English. A second UN language is an asset.

Technical Specialist

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

Responsibilities

- Technical monitoring and quality control of all project Outputs that require technical input (especially guidelines and policies);
- Develop detailed Terms of References for consultants and contractors, as required, in collaboration with UNDP and UNEP Regional Advisors;
- Coordinate and oversee technical input and review all technical reports produced by international consultants;
- Draft work plans for all technical activities of the project and prepare outline structure of technical reports;
- Liaise with other organisations supporting the NAP process on the delivery of project Outputs;

- Identify, analyse and communicate lessons learned that may be useful in design and implementation of similar projects. The duty of identifying and analysing lessons learned is an on-going one, and the duty to communicate those lessons is on an as-needed basis, but not less frequently than once every six months.

Qualifications/ Requirements

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

Project Assistant

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

Responsibilities

- Set up and maintain all files and records of the project in both electronic and hard copies
- Collect project related information and data
- Administer Project Board meetings
- Establish document control procedures
- Compile, copy and distribute all project reports
- Provide logistical support to the TSU and international consultants in organising training events, workshops, and seminars
- Assist international, short-term consultants by organising their travel schedules, arranging meetings with different stakeholders, and booking hotel accommodations
- Prepare monthly leave records for the project staff and long-term national/international consultants
- Draft necessary correspondence with local and international agencies and stakeholders
- Standardise the finance and accounting systems of the project while maintaining compatibility with UNDP and UNEP financial and accounting procedures
- Prepare budget revisions of the projects based on the Combined Delivery Reports
- Assist in the preparation of the Annual Work Plan (AWP)
- Comply and verify budget and accounting data by researching files, calculating costs, and estimating anticipated expenditures from readily available information sources.
- Prepare financial status reports, progress reports and other required financial reports
- Process all types of payment requests for settlement purpose including quarterly advances to the partners
- Prepare periodic accounting records by recording receipts and disbursements (ledgers, cash books, vouchers, etc.) and reconciling data for recurring or financial special reports and assist in preparation of annual procurement plan
- Undertake project financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final and final revisions, and support professional staff in preparing the terminal assessment reports

- Prepare financial reports and documents as per specified formats, project, or programme plans and general reference documents as well as general administrative/financial or specialised tasks related to the project which may be of a confidential nature within the assigned area of responsibility
- Assist in the timely issuance of contracts and assurance of other eligible entitlements of the projects personnel, experts, and consultants by preparing annual recruitment plans
- Provide substantive support to the TSU for overall implementation
- Prepare and update inventories of expendable and non-expendable project equipment

Qualifications/ Requirements

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