

## **UN AGENCY TO UN AGENCY CONTRIBUTION AGREEMENT**

### **A. SUMMARY OF ACTIVITIES**

<b>Title:</b>	"UNITAR support to UNDP-managed Outcomes in project "Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)" implemented by United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP) (the "Activities")."
<b>Atlas award and project number</b>	<b>UNDP1 Award ID 00072738, Project ID 00085792</b>
<b>Start/End Dates:</b>	Activities start date: October 2013 Activities end date: December 2015
<b>Location:</b>	Global
<b>Contribution Amount:</b>	USD 297,460 (the "Contribution").
<b>Contributing Agency:</b>	UNDP
<b>Recipient Agency:</b>	UNITAR
<b>Nature of Activities:</b>	Capacity Building/ Training
<b>Purpose</b>	The Recipient Agency will execute the activities detailed herein on behalf of UNDP, in collaboration with UNEP and all other partners to the project "Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)". Activities are described in the Project Document and supporting Budget attached under Section B. Work plan included in Annex 1.
<b>Annexes:</b>	In the event that the terms contained in Annex(es) are incompatible with those contained in this Agreement, then the latter shall govern and prevail.
<b>Expected outcome:</b>	Outcomes 1 and 3 in the UNDP/UNEP project "Assisting Least Developed Countries (LDCs) with Country-Driven Processes to Advance National Adaptation Plans (NAPs)" results framework, detailed in Annex 2.

The Recipient Agency will be fully responsible for administering the Contribution in accordance with its financial regulations, rules, policies and procedures, and administrative instructions, and carrying out the Activities efficiently and effectively.

## B. BUDGET

The total budget for the Activities is USD \$297,460, as more fully described below.

Activity	Breakdown of activities	Indicative budget (USD)
<b>Output 1.1</b>		
Activity 1.1.4 – institutional and technical capacity needs	<ul style="list-style-type: none"> <li>• Methodology development - competency framework for long term adaptation planning and budgeting</li> <li>• Preparation - identify and engage with lead NAP agencies in selected countries</li> <li>• Complete up to 4 national level assessments of skills and institutional gaps (covering at least 4 key ministries in each country)</li> <li>• Define national skills and institutional development needs for adaptation planning</li> <li>• Review and refine competency framework and develop knowledge product</li> </ul>	\$25,000  To be provided by the NAP GSP project team  \$22,500/country (\$90,000)  \$2,500/country (\$10,000)  \$5,000  \$130,000
<i>Note: many LDCs will have the resources to carry out this exercise (eg from existing LDCF projects) but would benefit from the methodology proposed as well as related knowledge products. In some cases (up to 4 countries) UNITAR undertakes to carry out national level needs assessments, working with a suitable local institution to build national skills in this area.</i>		
	<b>Sub-total:</b>	
<b>Output 1.2</b>		
Activity 1.2.3 – strengthen leadership	<ul style="list-style-type: none"> <li>• Methodology development – review and adjust adaptation competency framework for finance and planning officials</li> <li>• Training package – prepare 3 day blended training approach (web based and face to face) and materials with a primary focus on mid to senior level officials in ministry of finance and planning</li> <li>• Preparation and delivery of two regional training events (6 countries each)</li> <li>• Evaluation and refinement of methodology and materials.</li> </ul>	\$5,000  \$30,000  \$30,000 (not inclusive of workshop organization and costs for participants)  \$5,000  \$70,000
<i>Note: the training package will be delivered twice for approximately 30 officials at two regional events. The materials, which will include both online and face to face methods will be made available on the NAP Central website to be used again as necessary with other resources.</i>		
	<b>Sub-total:</b>	
<b>Output 3.1</b>		
Activity 3.1.1 – thematic discussions	<ul style="list-style-type: none"> <li>• Provision of a facilitator to initiate thematic discussions and capture feed-back on a quarterly basis throughout the project cycle</li> </ul>	\$22,500
Activity 3.1.3 - synthesis	<ul style="list-style-type: none"> <li>• Provision of a facilitator to summarise information captured</li> </ul>	\$27,500

	under 3.1.1, provide regular communique's and update the NAP-Central website	
Activity 3.1.4 – share practices through side events	<ul style="list-style-type: none"> <li>• Organisation of two events per year in the margins of international meetings, building on the results of 3.1.2</li> </ul>	\$28,000 (inclusive of UNITAR travel costs but not inclusive of costs of travel and costs for presenters from LDCs or other)
	<b>Sub-total</b>	<b>\$78,000</b>
	Total	\$278,000
	PSC @ 7%	\$19,460
	<b>Grand-Total</b>	<b>\$297,460</b>

The Contributing Agency will not be responsible for any financial commitment or expenditure made by the Recipient Agency that exceeds the budget for the Activities. The Recipient Agency will promptly advise the Contributing Agency any time when the Recipient Agency is aware that the budget to carry out these Activities is insufficient to fully implement the Activities in the manner set out in the present Agreement, including its Annex (es). The Contributing Agency will have no obligation to provide the Recipient Agency with any funds or to make any reimbursement for expenses incurred in excess of the total budget as set forth herein.

Total Budget and Workplan

**ANNUAL WORK PLAN**  
Global Environment Facility

Project: 00072738  
 Project Title: Assisting LDCs to advance their NAPs  
 Year: 2014

Output	Key Activities	Timeframe		Responsible Party	Planned budget		
		Start	Finish		Fund	Donor	Budget Desc
00085792 Assisting LDCs to advance their NAPs	Knowledge and Lessons			UNITAR	62160	GEF Trustee	72100 Contractual
	National Planning			UNITAR	62160	GEF Trustee	72100 Contractual
	Project Management			UNITAR	62160	GEF Trustee	72100 Contractual
<b>TOTAL</b>							19,460.00
<b>GRAND TOTAL</b>							297,460.00
							297,460.00

### **C. COSTS RECOVERY**

The Recipient Agency's support costs, determined in accordance with its cost recovery policy, will be paid from the Contribution, in accordance with the budget.

### **D. REPORTING**

#### **Narrative reporting:**

The Recipient Agency will provide the Contributing Agency with a narrative report on the progress of the Activities on a regular basis, as set out below:

Annually, in advance of scheduled payments (see Section E).

#### **Financial Reporting:**

The Recipient Agency will provide the Contributing Agency with the following financial reports, prepared in accordance with the Recipient Agency's financial regulations, rules, policies, procedures, and administrative instructions and UNDP reporting requirements on agency managed UNDP funded projects:

- (1) Project Delivery Report: quarterly
- (2) Other financial reports: annual (refer to the UNDP year end agency reporting guidelines sent to all UN Agencies)

### **E. CONTRIBUTIONS**

The total amounts paid by the Contributing Agency shall match the total budget amount. For Activities less than one year in duration the Contribution will be paid to the Recipient Agency prior to the commencement of Activities. For multi-year Activities the Contribution will be paid in instalments according to the following schedule.

#### **Schedule of payment:**

Upon signature of this agreement, UNITAR will send cash transfer request to UNDP Office of Finance and Resource Management, following standard cash transfer arrangements between UNDP and UNITAR. Cash advance will be made on a quarterly basis based on quarterly agreed work plan.

The Contributing Agency acknowledges that the Recipient Agency will not pre-finance Activities. If the Contribution, or any part of it, is not received in a timely manner, the Activities may be reduced or suspended by the Recipient Agency with immediate effect.

The Contribution will be paid into the following account:

#### **Account Details:**

Account Name:	UNOG General Fund
Account Number:	485-001802
Bank Name:	J.P. Morgan Chase

Bank Number: ABA Code: 021000021  
Bank Swift Code: CHAS US 33  
Reference: UNITAR R-XXX

Currency: US Dollars  
Bank Address: 277 Park Avenue, 23<sup>rd</sup> Floor, New York, New York 10172, USA

When making such transfers the Contributing Agency will notify the Recipient Agency, UNITAR, for the Attention of Angus Mackay, by fax +41(0)22 917 8047 or by e-mail (angus.mackay@unitar.org) of the following: (a) the amount transferred; (b) the value date of the transfer; (c) that the transfer is from the Contributing Agency pursuant to this Agreement.

**F. INTELLECTUAL PROPERTY RIGHTS**

All Intellectual Property Rights related to the Activities will belong to the Recipient Agency. The Contributing Agency and, if applicable, the relevant programme Government will enjoy a perpetual, royalty-free, non-exclusive and non-transferable license.

**G. CORRESPONDENCE**

All correspondence regarding the implementation of this Agreement will be addressed to:

**United Nations Development Programme : Ms. Claudia Ortiz**  
Address: One United Nations Plaza, New York, NY 10017, USA.

**The United Nations Institute for Training and Research : Mr. Angus Mackay**  
Address: Palais Des Nations, CH-1211, Genève 10, Switzerland.

**H. AMENDMENTS**

The present Agreement, including its Annex (es), may be modified or amended only by written agreement between the two Agencies.

**I. COMPLETION OF THE ACTIVITIES**

The Recipient Agency will notify the Contributing Agency when all Activities have been completed.

The Recipient Agency will continue to hold any part of the Contribution that is unutilized at completion of the Activities until all commitments and liabilities incurred in the carrying out of the Activities have been satisfied and all arrangements associated with the Activities have been brought to an orderly conclusion.

**J. TERMINATION OF THIS AGREEMENT**

This Agreement will terminate upon satisfaction of all commitments and liabilities incurred in carrying out the Activities and the orderly conclusion of all arrangements associated with the Activities.

This Agreement may be terminated by either Agency at any time by written notice to the other. Termination will be effective thirty (30) days after receipt of the notice. In the event of termination under this paragraph, the two Agencies will cooperate to ensure completion of the Activities, satisfaction of all commitments and liabilities, and the orderly conclusion of all arrangements associated with the Activities.

**K. REFUNDS OF UNSPENT BALANCES**

Upon termination of this Agreement and following the submission of the final financial report, any unspent balance of the Contribution will be returned to the Contributing Agency, unless otherwise agreed in writing by the two Agencies.

**L. SETTLEMENT OF DISPUTES**

The two Agencies will use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim arising out of or in connection with this Agreement or any breach thereof. Any such dispute, controversy or claim which is not settled within sixty (60) days from the date either party has notified the other party of the nature of the dispute, controversy or claim and of the measures which should be taken to rectify it, will be resolved through consultation between the Executive Heads of each of the Agencies.

**M. ENTRY INTO FORCE AND VALIDITY**

This Agreement will enter into force upon its signature by the authorized representatives of the Parties and remain in force until terminated in accordance with Section J above.

IN WITNESS WHEREOF, the undersigned, being duly authorized thereto, have signed the present Agreement in duplicate.

Signed:

On behalf of the United Nations Development Programme

  
Ms. Adriana Dinu  
Officer-in-Charge and Deputy Executive Coordinator  
UNDP/GEF

Date:

17 Dec. 2013

Signed:

On behalf of the United Nations Institute for Training and Research

S. Fagan-Wyles — (OIC)

Ms. Sally Fagan-Wyles  
United Nations Assistant Secretary-General  
Acting Head  
Executive Director, UNITAR

16-01-2014

Date:

### Annex 1: Multi Annual Workplan (2014-2015)

EXPECTED OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <sup>1</sup> List all activities to be undertaken during the year towards stated outputs	Timeframe								Planned Budget		Schedule of payments by UNDP					
		Oct 2014		Oct 2015		Q1		Q2		Q3	Q4	Description	USD	Q1	Q4	Q6	Q8
Output 1.1: Activity <sup>1, 2, 3</sup> - Institutional and technical capacity needs	<ul style="list-style-type: none"> <li>• Development of "competency framework" and methodology for long term adaptation planning and budgeting<sup>2</sup></li> <li>• Identify and engage with lead NAP agencies in selected countries in consultation with UNDP country offices and UNEP office in Nairobi.</li> <li>• Complete up to 4 national level assessments of individual skills and institutional gaps (covering at least 4 key ministries in each country)<sup>3</sup></li> <li>• Define individual skills and institutional development needs for adaptation planning, in the context of NAP learning strategies and action plans to help underpin the development and implementation of NAPs</li> <li>• Review and refine competency framework and develop knowledge products</li> <li>• Methodology development - review and adjust adaptation competency framework for finance and planning officials</li> </ul>	X										NAP GSP Team.					
Output 1.2: Activity 1.2,3 - Strengthen Leadership												Sr. specialist Specialist Nat. Consultant Travel	20,000 22,000 32,000 16,000	X			
												Sr. specialist Specialist Nat. Consultant	2,000 8,000 2,000	X			
												Sr. specialist Specialist	1,500 3,500	X			
												Sr. specialist Specialist	2,000 3,000	X			

<sup>1</sup> UNITAR will be responsible for specific tasks that are part of a wider programme of activities. Hence, UNITAR team will act seamlessly with the NAP GSP project staff (P3 and P4) and under their direction. UNDP and UNEP guidance on ensuring this coordination will be provided.

<sup>2</sup> A competency framework is used as a foundation for assessing public sector skills in climate change policy and finance. The approach, based on a framework used by the Government of the UK, represents the first step in the needs assessment and once developed will help prepare further assessments in all countries on a consistent basis. The framework provides a minimum and agreed set of competencies that would be required by officials to effectively work on NAP development and implementation, based on the NAP guidelines.

<sup>3</sup> The National Needs Assessments would look at what exists at present, set against the competency framework, and identify gaps. Surveys would be carried out in all key ministries, with questions based on the competency framework, reflecting each country's specific context.

<sup>4</sup> Blended training refers to the use of a combination of different techniques, so that learners can reinforce new knowledge and skills acquired (containing formal training and task-based assignments). It aims to have individualized follow-up and coaching with learners to assess how new skills are being applied, based on the Kirkpatrick Evaluation Methodology (<http://www.nwlink.com/~donclark/hrd/kirkpatrick.htm>). This blended training will focus director-level government officials.

## Annex 2: Project Results Framework

Applicable SOF (e.g. GEF) Strategic Objective and Programme: Least Developed Countries Fund (LDCF)			
<b>Objective 1:</b> Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global levels			
<b>Objective 2:</b> Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level			
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			
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			
Project Goal To support LDCs to advance their National Adaptation Plans (NAPs) processes within the context of existing development planning strategies and processes.			
Indicator	Baseline	Targets End of Project	Risks and Assumptions
Project Objective:  LDCs have a strengthened system in place to develop a NAP process;  LDCs have systems and capacities in place to embark on medium- to long-term adaptation planning and budgeting that contribute to and build upon their existing development planning strategies and processes	Number of countries sensitised on functional and operational individual, institutional and systemic capacities required to develop and advance medium- to long-term National Adaptation Plans	All LDCs have been sensitised and are at various stages of implementation of their urgent and immediate adaptation plans (NAPs) 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.	Reports to UNFCCC COPs and SBs Report of consultations with country level stakeholders on NAP related work plans  Survey at the start of the project to further identify individual country capacities and needs.  Key institutions recognise the economic benefits of embarking on comprehensive adaptation planning and integrating adaptation needs in development plans
		Reports on the case studies and/or piloted activities	
		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	

<b>Component 1 Institutional support</b>			
<b>Outcome 1.</b> <b>Least Developed Countries are capacitated to advance medium- to long-term adaptation planning processes in the context of their national development strategies and budgets</b>	<p>Number of country-specific roadmaps developed to enable countries with processes to move forward with medium- to long-term climate resilient planning process:</p> <p>Number of countries with institutional arrangements and trained capacities in place to advance towards medium- to long-term climate resilient planning</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 roadmaps 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>
<b>Output 1.1.</b> <b>National and sub-national institutional and coordination arrangements established in 12 LDCs, including financial and other requirements for advancing medium- to long-term adaptation planning and budgeting.</b>		<p>Country roadmaps 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>
<b>Output 1.2.</b> <b>National roadmaps on the NAP process are formulated, including elements for monitoring the progress of their implementation. The roadmaps will be country-specific, 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</b>			
<b>Output 1.3.</b> <b>National roadmaps on the NAP process are formulated, including elements for monitoring the progress of their implementation. The roadmaps will be country-specific, 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</b>			

through South-South and North-South Cooperation to enhance capacities to formulate and advance the National Adaptation Plan process	<p>Number of partnerships with global and regional knowledge management institutions established to support countries with NAPs</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>At least 5 partnerships with global and regional knowledge management institutions established to support countries with NAPs</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.

related to the advancement of NAPs, including reporting on progress to the LEG, AC, UNFCCC subsidiary bodies, etc. The roadmaps will contain information that can be submitted to the LDCF and/or other funding sources with the aim of obtaining the additional financial resources necessary to support and advance the NAP process in the country concerned.

<b>Component 2</b> <b>Technical support</b>	Number of technical tools, detailed methodologies (by sector) available to support medium- to long-term adaptation planning in all key sectors and at national and sectoral levels.	There exists limited knowledge on V/A among LDCs, it is not organised, well communicated and remains scarcely understood except in academic settings.	By the end of the project, appropriate guides and related resource materials developed and dispersed through workshops and existing knowledge dissemination websites (APAN, ALM).	Workshop reports Website Reports on Case Studies	Countries undertaking the transition process have access to project information
<b>Outcome 2</b> <b>Tools and approaches to support key steps of the National Adaptation Plan process are developed and accessible to all LDCs</b>	Number of case studies for medium- to long-term adaptation planning developed	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.	At least 5 case studies on the impact of the applications of the guides and other resource materials developed	Semi-annual reports from participating countries	Tools and approaches developed by the project are considered practical, locally appropriate, innovative, sustainable and cost effective
<b>Output 2.1</b> <b>National teams in 12 LDCs are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.</b>		Policy guidance for integrating climate change adaptation into national development planning is weak.	Surveys at start of project to determine existing knowledge continuously monitored		Key Government representatives and stakeholders recognise the value of project-related training initiatives
<b>Output 2.2</b> <b>National teams in 12 LDCs are trained in the use of the tools and approaches to advance to medium- to long-term adaptation planning and budgeting.</b>					
<b>Output 2.3</b> <b>Web-based training materials prepared for use by all LDCs as they commence their respective NAP processes.</b>					
<b>Component 3</b> <b>Brokering of Knowledge</b>	Number of region-specific knowledge exchange forums conducted focused on formulating and preparing NAPs	Relevant government entities and other stakeholders in LDCs have limited knowledge of available tools and methods to support their effort in advancing to	At least four region-specific forums conducted focused on formulating and preparing NAPs (in Asia, Pacific, Francophone Africa and Anglophone Africa)	Qualitative surveys Surveys to determine needs identified by participating countries	Sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information
<b>Outcome 3</b> <b>Exchange of lessons and knowledge</b>					Sufficient cooperation between external donors to align initiatives of relevance to the NAP process