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## United Nations Development Programme

Country: Global

### PROJECT DOCUMENT

**Project Title:** Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs)

**UNDAF Outcome(s):**

**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**

### **Brief Description**

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

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

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

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

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○ UNDP	US\$4,900,000



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## List of Acronyms and Abbreviations

AAKNet	Africa Adaptation Knowledge Network
BRHAC	Adaptation Committee
ADMIRE	Adaptation Mitigation Readiness Project
AF	Adaptation Fund
ALM	Adaptation Learning Mechanism
AMCEN	African Ministerial Conference on the Environment
APAN	Asia Pacific Adaptation Network
APR	Annual Project Review
ASAP	Adaptation for Smallholder Agriculture Programme
BMUB	Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
CAF	Banco de Desarrollo de América Latina
CAF	Cancun Adaptation Framework
CaPP	The Climate Protection Programme for Developing Countries
CARICOM	Caribbean Community Secretariat
CBD	Convention on Biological Diversity
CCA	Common Country Assessment
CCAU	Climate Change Adaptation Unit
CEEPA	Centre for Environmental Economics and Policy in Africa
CGE	Consultative Group of Experts on National Communications
COP	Conference of the Parties
CPEIR	Climate Public Expenditure and Institutional Review
CTCN	Climate Technology Centre and Network
DEPI	Division for Programme Implementation
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
EbA	Ecosystem-based Adaptation
ECCA	Capacity Building Programme on the Economics of Climate Change Adaptation
EOU	Evaluation Office of UNEP
EU	European Union
FAO	Food and Agriculture Organization
GAN	Global Adaptation Network
GEF	Global Environment Facility
GGCA	Global Gender and Climate Alliance
GIZ	Deutsche Gesellschaft für International Zusammenarbeit
GDP	Gross Domestic Product
GSP	Global Support Programme
GWP	Global Water Partnership
HFA	Hyogo Framework for Action
HNAP	health component of the National Adaptation Plan
ICCCAD	International Centre for Climate Change and Development
IFAD	International Fund for Agricultural Development

JICA	Japanese International Cooperation Agency
JNAP	Joint National Action Plan
LDC	Least Developed Country
LDCF	Least Developed Country Fund
LEG	Least Developed Countries Expert Group
MIC	Middle Income Country
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MRV	monitoring, reporting and verification
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategic Action Plan
NC	National Communication
NCSAs	National Capacity Self-Assessments
NGO	Non-governmental Organisation
NWP	Nairobi Work Programme
PB	Project Board
PIC	Pacific Island Country
PIFS	Pacific Islands Forum Secretariat
PIR	Project Implementation Report
PoW	Programme of Work
PPG	Project Preparation Grant
PROVIA	Programme of Research on Climate Change Vulnerability, Impacts and Adaptation
QPR	Quarterly Progress Reports
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SIDS	Small Island Developing State
SLR	sea-level rise
SNAP	Stocktaking for National Adaptation Planning
SOPAC	Secretariat of the Pacific Community Applied Geo Science and Technology Division
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
TE	Terminal Evaluation
TEC	Technical Executive Committee
TNA	Technology Needs Assessment
ToR	Terms of Reference
TSU	Technical Support Unit
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme

UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
UNOPS	United Nations Office for Project Services
UNU	United Nations University
USAID	United States Agency for International Development
USP	University of the South Pacific
VIA	Vulnerability impacts analysis
WARN CC	West Asia Regional Network on Climate Change
WHO	World Health Organization
WRI	World Resources Institute

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## I. SITUATION ANALYSIS

1. National and sectoral planning processes in each country provides a central means by which development priorities are identified, formulated, budgeted and implemented. Given the likely adverse effects of climate change on development goals, especially those concerning poverty reduction, exclusion and inequality, countries have begun to recognize the need to integrate requirements for risk management into existing planning and budgeting processes in the hope of advancing integrated solutions. At present, however, most Least Developed Countries (LDCs) have not fully integrated climate change risks and opportunities in a comprehensive and sustained manner.

2. The National Adaptation Plans (NAPs)<sup>1</sup> process was established under the Cancun Adaptation Framework (CAF) to promote political and financial support at the national level for LDCs to mainstream climate change into development planning. At the 17<sup>th</sup> Conference of the Parties (COP-17) in Durban, Parties adopted initial guidelines and principles for the NAP process. In addition, relevant organizations were requested to submit information on their support of the NAP process and to consider the establishment of NAP support programmes according to their respective mandates.

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

4. The Ongoing NAP GSP has provided considerable support to a number of LDCs to initiate or advance the NAP process. In particular: i) 15 LDCs have received one-on-one support to strengthen their institutional and technical capacity to implement the NAP process through Outcome 1; ii) more than 130 policy and technical officers from 47 LDCs have been sensitised on the NAP process through Outcome 2; and iii) knowledge-sharing mechanisms have been established – including an interactive web platform and newsletter – through Outcome 3. Despite these achievements, there are still gaps in the capacity of LDCs to implement and/or advance the NAP process, and the demand for the support provided through NAP GSP is increasing. For example, an additional 14 requests for one-on-one technical support through Outcome 1 of Ongoing NAP GSP – over and above the 12 LDCs that have received support – have been received to date, and this number is expected to increase as more countries start their NAP process. Moreover, through Outcome 2 of the programme, LDCs identified additional training needs<sup>2</sup> for the NAP process that require in-depth training to specific national stakeholders – an activity that was not within the scope/resources of this initial programme.

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

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<sup>1</sup> This culminated in Decision 5/CP.17

<sup>2</sup> Such as *inter alia* training on climate scenario modelling, sectoral vulnerability assessments and economic appraisals of adaptation options.

## Climate change-induced problem

6. Climate change (including climate variability) is having detrimental effects on human well-being across the developing world. For example, increasing temperatures, altered precipitation regimes, rising sea levels and an increasing frequency and intensity of extreme weather events are adversely affecting *inter alia* ecosystem functioning, water resources, food security, infrastructure and human health<sup>3</sup>. These effects are predicted to worsen in the future. The ability to adapt to the negative effects of climate change has far-reaching implications for sustainable development in most countries, but especially in Least Developed Countries (LDCs). These countries are inadequately equipped for managing the effects of climate change because of a variety of factors including *inter alia* their limited financial and technical capacities to plan for and adapt to climate change. Without the capacity to manage medium- to long-term climate change risks and opportunities, negative effects of climate change will undermine years of progress on advancement towards the Millennium Development Goals (MDG)<sup>4</sup>, future development towards the Sustainable Development Goals (SDG) and economic growth prospects.

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

## Long-term solution & Barriers to achieving the long-term solution

8. The long-term preferred solution would be that climate change is taken into account in a coherent, aligned and iterative manner within new and existing development policies and processes. This type of planning would result in climate-resilient sustainable development. Such a process would require the involvement and commitment of decision-makers at national, sectoral and local levels.

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

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

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<sup>3</sup> Intergovernmental Panel on Climate Change. 2007. *Fourth Assessment Report: Climate Change*.

<sup>4</sup> United Nations. 2007. *The Millennium Development Goals Report*.

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

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

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

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

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

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

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

16. Where medium- to long-term planning processes for adaptation in LDCs do exist<sup>5</sup>, they seldom holistically consider the multiple risks and stresses affecting human, social, physical, natural and financial capital. Moreover, there is limited consideration of how livelihood options may change in response to the effects of climate change,

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<sup>5</sup> These nascent processes include National Implementation Strategies for Climate Change (e.g. Sudan) or the inclusion of climate change in national development visions (e.g. Malawi).

and how development plans in turn may be affected. This is partly because stakeholders involved in planning – including states, markets and civil societies – do not adequately understand their particular responsibilities in adaptation to climate change. Moreover, the institutional and political factors that either promote or hinder the enabling environment for climate-resilient development are not well documented and understood. Therefore, these factors are not managed or leveraged to bring about the necessary change for integrated adaptation.

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

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

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

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

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

20. The funding required for adaptation is considerable. In developing countries, over the period 2010 to 2050, necessary adaptation investments could average US\$30 to US\$100 billion a year<sup>6</sup>. These figures can be compared with the roughly US\$100 billion per year made available for broader development assistance. Consequently, innovation is necessary to diversify sources of funding and create new revenue streams for adaptation. In this context, some countries are assessing what it would take to attract the larger volumes of international private sources of finance that is available, but which might not yet be reaching their countries. In particular, countries are trying to better understand why it is that private financing may be eluding them and rather going towards a select number of developed and the more advanced of the developing countries (e.g. China, India, Brazil, South Africa). Understanding and overcoming barriers to attracting private capital flows to support adaptation is therefore very important for many developing countries. There is also interest to examine the feasibility of innovative financial schemes – e.g. green bonds or municipal bonds – to raise the necessary capital, and as options for incentivizing investment by the private sector. However, these options have been underexplored in most developing countries.

*Insufficient policy guidance.*

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

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

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

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

*Few political champions for the NAP process.*

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

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

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

## II. STRATEGY

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

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

### Project Rationale

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

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

28. The Expanded NAP GSP will continue to provide **institutional and capacity development support** to LDCs. It will actively assist countries in undertaking new initiatives – as well in leveraging ongoing initiatives that support capacity needs assessments – to strengthen national capacities for: i) vulnerability analysis particularly focusing on country-specific priority sectors; ii) economic assessment of adaptation options; iii) climate-resilient planning and budgeting (taking gender into consideration); iv) policy development; v) coordination and collaboration capacities; vi) leadership capacities; and vii) management capacities (for example financial readiness and M&E). This will be undertaken in coordination with other donor-supported programmes for capacity development (see Section III). Fostering coordination between different line ministries will also help to identify and align the programme with relevant ongoing and planned initiatives pertaining to national planning and budgeting.

29. In terms of **technical support** to assist countries to advance NAPs and produce operational NAP roadmaps, the programme will continue to support countries to translate guidance emerging from the LEG and other relevant processes into policy-relevant analysis. It will also train national staff on integrating adaptation into medium- to long-term national planning and budgeting. Through the Expanded NAP GSP, impartial advisory support will also be provided to LDCs, upon request, for: i) stocktaking and analysis of existing assessments and

enabling policies; ii) NAP country level trainings for inter-ministerial teams and facilitation of NAP dialogues iii) identification of additional assessments needed to operationalize the NAP process, for example new assessments needed may have a sectoral or thematic focus; iv) analyses of the economic effects of climate change, including cost-benefit analyses of adaptation options; v) appraisal of adaptation options; vi) formulation of bankable NAP projects; vi) tracking of adaptation expenditure and budgeting for adaptation in development plans; viii) analysis of climate scenarios and climate models; and ix) application of climate information for improved adaptation planning. Following on from the Ongoing NAP GSP, the programme will continue to develop and update indicators for reporting, monitoring and evaluating progress on the NAP process, as required by the COP decision. The programme will also assist – if countries request it – with i) reporting and monitoring; and ii) reviews of, and advice on, NAP documents prior to their official submission to the UNFCCC.

30. To advance the NAP process in LDCs, **brokering of knowledge** will be undertaken through the programme to provide all LDCs with a range of knowledge products and services on adaptation planning for the medium- to long-term. To ensure that knowledge-sharing on NAPs continues indefinitely, the programme will: i) build on the repository of technical documents of relevance to LDCs that have been collated through the Ongoing NAP GSP; and ii) synthesise good practices and lessons learned and (iii) support virtual and face to face south-south exchange through knowledge sharing using existing platforms. The programme will therefore facilitate improved access to the best available and most relevant scientific information and expertise for LDCs. Moreover, South-South and North-South collaboration will be promoted by strengthening relationships and partnerships with agencies and institutions involved in the NAP process, including those established during the Ongoing NAP GSP and the NAP GSP for non-LDCs. This collaboration will complement the existing UNDP- and UNEP-supported knowledge networks and platforms<sup>7</sup> and extend to emerging adaptation knowledge platforms such as IFAD's Adaptation for Smallholder Agriculture (ASAP) Programme<sup>8</sup> and WHO support platforms on health and climate change (see Section III). The programme will also track and report on progress to the public through a dedicated website that was established through the Ongoing NAP GSP, allowing *inter alia* donors and technical institutions to identify opportunities to further assist LDCs in their NAP processes.

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<sup>7</sup> For example, the UNEP Global Adaptation Network and its regional networks, and the UNDP Adaptation Learning Mechanism.

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



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

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

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

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

33. Countries will be supported in their efforts to carefully design the institutional and coordination arrangements necessary for planning and implementing climate change adaptation, which will also feed into the NAP process. In this regard, it will be important to recognise that it is beyond the domain of environmental ministries to ensure that a country’s adaptation to climate change is effective. Importantly, national coordinating bodies and actors – notably ministries of finance and planning – will need to engage in the NAP process from the beginning of the programme.

34. The Expanded NAP GSP will build on and complement – rather than duplicate – other relevant support provided to LDCs. In particular, the mechanisms, tools and training packages that have been developed through the Ongoing NAP GSP and partners will be used, rather than developing new ones. Moreover, the Expanded NAP GSP will draw on, synthesise and make available relevant guidance, methodologies and tools (for example sector specific guidance, see Annex H) from similar initiatives. This collaboration and complementarity will be promoted through close coordination with the LEG, which has developed and disseminated technical guidelines



on the NAPs and other existing initiatives at the national and sub-national level, and from the GIZ/UNDP/UNITAR collaboration for a NAP Country Level Training Package Existing knowledge platforms – such as the Adaptation Learning Mechanism (ALM), Asia Pacific Adaptation Network (APAN), Africa Adaptation Knowledge Network (AAKNet), Global Adaptation Network (GAN) and NAP Central – will be used for LDCs to share information about relevant experiences, good practices and lessons learned from the preparation and implementation of NAPs.

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

### **Alignment with Global and Regional Frameworks**

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

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

38. The Sendai Framework for Disaster Risk Reduction (SFDRR) 2015-2030 was adopted by UN Member States in March 2015, following on from the Hyogo Framework for Action 2005-2015. This 15 year plan details prioritised actions to reduce the threat and impact of natural hazards associated with climate change. The SFDRR describes seven targets and four priorities for action and provides practical guiding frameworks for member states to coordinate the multiple sectors involved in planning for and responding to disaster risks and increasing resilience to natural disasters. The overall aim of the SFDRR is to substantially reduce disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries. The NAP process is complementary to the SFDRR in its focus on the coordination of planning for medium- to long-term climate change adaptation over multiple sectors.

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

biodiversity. The NAP process includes multiple national sectors in medium- to long-term adaptation planning and is therefore aligned with NBSAPs.

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

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

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

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

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

44. The Global Framework for Climate Services (GFCS) was established under the guidance of the World Meteorological Organisation (WMO) to support the integration of science-based climate information into decision-making processes. This integration will enable governments to better manage the risks associated with climate change, particularly within the priority sectors of agriculture/food security, water, health and disaster risk

reduction. The NAP process is complementary to the GFCS through its focus on the use of climate information to inform medium- to long-term planning for climate change adaptation.

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

### **Cost efficiency and effectiveness**

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

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

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

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

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

### **Risk Management**

51. Risks and risk mitigation measures were identified during the project development phase. As per standard UNDP requirements, these risks will be monitored quarterly by the Technical Support Unit (TSU). The TSU will report on the status of the risks and will record progress in the UNDP ATLAS risk log. Risks will be reported as

critical when the impact and probability are high (i.e. 5). Management responses to critical risks will also be reported to the GEF in the annual PIR.”

#	Description	Type <sup>9</sup>	Impact & Probability <sup>10</sup>	Mitigation Measures	Owner	Status
1	Problems related to involvement and cooperation of stakeholders providing the project team with data	Political and organisational	P=3 I=5	Clear commitment of the Ministry to data collection and dissemination of data	UNDP, UNEP	
2	Governments will not have funds to sustain the national arrangements, once the project ends	Financial	P=1 I=5	Awareness raising among decision-makers  Outreach potential donors  Actors will be targeted in the Expanded NAP GSP including ministries of finance  Partnerships with bi-laterals, private sector, and other entities will be actively promoted and sought during the project implementation	UNDP, UNEP	
3	Conflicts among stakeholders with regard to roles in the project	Political and organisational	P=2 I=3	Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles  Lessons learned through the Expanded NAP GSP are integrated into stakeholder involvement plans and consultations; ii) provide a timeline for the NAP process; iii) indicate support; and iv) include elements for monitoring the progress of implementation.	UNDP, UNEP	

<sup>9</sup>Organizational, Financial, Operational, Environmental, Strategic, Regulatory, Security, Political, Other

<sup>10</sup> Impact and Probability Scale, 1-5 (from very low to very high)

#	Description	Type <sup>9</sup>	Impact & Probability <sup>10</sup>	Mitigation Measures	Owner	Status
4	Lack of political will to support the project	Political and strategic	P=1 I=4	<p>Awareness raising among the decision-makers.</p> <p>Building on lessons learned during the Ongoing NAP GSP</p> <p>Develop leadership/ champions for change.</p> <p>A strong stakeholder involvement plan has been developed (and will be confirmed during the Inception Workshop) to provide support to the project</p> <p>Support will be given to government to organise consultations on project progress at key stages in order to maintain government ownership and interest in the project</p> <p>Collaboration with other cooperation projects which will help to maintain political visibility</p>	UNDP, UNEP	
5	Poor coordination	Leading to delays in deliverables	P=3 I=3	Clear Project Management arrangements	UNDP, UNEP	
6	Limited capacity within relevant ministries/ insufficient qualified human capacity	May limit/delay project implementation/ completion	P=3 I=2	A focus of the project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives, for example those with national climate change learning strategies already in place	UNDP, UNEP	

## **Social and environmental safeguards**

52. This project is ranked as “Low risk” under UNDP Social and Environmental Safeguards Policies. Environmental and social grievances will be reported to the GEF in the annual PIR. Please see Annex E for more details.

## **Sustainability**

53. The Expanded NAP GSP is designed to build technical capacity and provide the knowledge, skills and tools necessary for countries to continue to advance their NAP process beyond the duration of this particular project. This includes follow-up support with in-depth training to further enhance the capacities of countries that benefitted from one-on-one support during the Ongoing NAP GSP. Therefore, the design of the project emphasises sustainability.

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

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

## **Mainstreaming**

56. Results from the Expanded NAP GSP will be consistently disseminated within and beyond the timeframe of the project. UNDP and UNEP are connected to a number of well-established information sharing networks and forums such as the ALM<sup>11</sup>, the Regional Climate Change Adaptation Knowledge Platform for Asia/Pacific<sup>12</sup> and the Global Adaptation Network<sup>13</sup>. These platforms will provide the regional and global connecting points for the exchange of project knowledge. Through the Ongoing NAP GSP, the ALM was strengthened to include information on the NAP-related progress of LDCs. This platform will continue to be updated throughout the Expanded NAP GSP. In addition, knowledge generated and captured through the programme will be shared

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<sup>11</sup> Website: <http://www.adaptationlearning.net/>.

<sup>12</sup> Website: <http://www.asiapacificadapt.net/>.

<sup>13</sup> Website: <http://www.ganadapt.org/>.

through the LEG NAP Central<sup>14</sup> information portal. Moreover, the programme will participate – as relevant and appropriate – in scientific, policy-based and/or other relevant knowledge networks. The processes and mechanisms for exchange of knowledge with global and regional institutions that were established within Ongoing NAP GSP will be strengthened during the Expanded NAP GSP. In particular, knowledge will be disseminated to – and collated from – dedicated knowledge and programming initiatives (see Section III for a list of such initiatives). When applicable, information and knowledge generated through the Expanded NAP GSP will also be presented at the annual NAP Expo.

### **Scale-up and Replication**

57. Technical capacity building in countries will promote replication and up-scaling of activities related to the NAP process. Firstly, government line ministries will attend sub-regional and thematic workshops on the application of tools for the NAP process. The content of the workshop will be informed by the needs of the attending representatives. The result is improved accessibility and usability of tools for the NAP process – including the development of supplementary online training material – which will promote the replication of activities for the NAP process. Secondly, the active participation of government line ministries in the sub-regional and thematic workshops will promote national support for the development of national planning and strategies that advance medium- to long-term adaptation planning that is country-specific and aligned with national priorities. As they will be available online and therefore accessible to government staff who were unable to attend the targeted training workshops, the training material on NAP tools will promote further training activities at all levels of government. Finally, through improved mechanisms for sharing knowledge and lessons learned, LDCs will be able to access information on best practice for NAP development. Learning how other countries have overcome barriers to the NAP process will promote the replication of NAP related activities in LDCs.

58. Case studies of country experiences related to the NAP process, including innovative financial approaches to improve access to finance, will be shared through Outcome 3. These case studies will also highlight potential approaches for engagement of the private sector based on lessons learned on public-private partnerships through activities under Output 3.2 and from complementary activities in the SCCF NAP GSP<sup>15</sup>. This will support countries at earlier stages of the NAP process both during and beyond the duration of the project.

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<sup>14</sup> Website: <http://www4.unfccc.int/nap>.

<sup>15</sup> Project no: 5354 - Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)

### III. RESULTS AND PARTNERSHIPS

#### Expected Results

59. The objective of the Expanded NAP GSP is to further strengthen the institutional and technical capacities of LDCs to start and/or advance their NAP process. LDCF resources of US\$6,200,000 are requested for the period 2016–2019 to expand the support provided through the Ongoing NAP GSP by delivering additional, more in-depth technical support to an increased number of LDCs. In particular, the Expanded NAP GSP will build on the Ongoing NAP GSP to achieve the following results.

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

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

*Co-financing amount for Outcome 1: US\$8,000,000*

*LDCF Project grant requested: US\$3,300,000*

#### *Without LDCF funding (baseline)*

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

61. LDCs have called for support to address some of the above-mentioned capacity gaps in undertaking the NAP process and for technical assistance in drafting NAP work plans or roadmaps. In response, the Ongoing NAP GSP, in collaboration with its partner agencies, has provided dedicated in-country targeted assistance to a limited number of countries. One-on-one technical expertise and remote support has been provided for *inter alia*: i) developing terms of reference for laying the groundwork for the NAP process, such as stock-takings; ii) convening and conducting national consultations on the NAP process involving different ministries; iii) facilitating institutional coordination arrangements to initiate a NAP roadmap; iv) mobilising national or international experts within the NAP process; v) developing capacities to access and/or direct/re-direct climate finance to support the NAP process; vi) harnessing technical skills for sectoral vulnerability analyses and economic appraisals of medium- and long-term adaptation options; vii) reviewing planning and budgeting for adaptation, and viii) formulating bankable proposals to access finance for NAP elements and/or roadmaps. The Ongoing NAP GSP provided direct one-on-one support towards one or more of these topics in 15 LDCs<sup>16</sup>.

62. During the Ongoing NAP GSP, the one-on-one support for LDCs described above has required considerable time investments to work closely with requesting countries to pinpoint the support they need. This has required substantial involvement of NAP GSP staff, partners and consultants as technically intensive tasks need to be planned and resourced adequately if meaningful results are to be achieved. This investment of time and expertise has meant that the Ongoing NAP GSP has not been able to attend to all of the requests for support received from LDCs. Indeed, as of December 2015 the programme had received an additional 15 requests for

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<sup>16</sup> The countries that have received one-on-one support are: Angola; Cambodia; Djibouti; Niger; Malawi; Comoros; DRC; Gambia; Mauritania; Tanzania; Mozambique; Madagascar; Senegal, Bangladesh and Burkina Faso.



support (over and above the 15 countries that were targeted for direct technical support, therefore 30 requests in total) and this number is likely to increase as more countries begin to undertake the NAP process. Without additional resources, the Ongoing NAP GSP will be unable to attend to all of these requests. Consequently, the NAP process in those unsupported LDCs risks remaining constrained unless other ongoing initiatives provide particular assistance towards their NAP process.

63. The technical support requested by LDCs is varied, as different countries are in different stages of the NAP process. Many LDCs – including *inter alia* Angola, Haiti, South Sudan, Lao PDR and Lesotho – have yet to officially begin or launch their NAP process. Other LDCs, including Malawi, Nepal and Cambodia, are in the initial stages of the process. Those who have progressed furthest, including Burkina Faso, Ethiopia and Sudan, have produced draft NAP documents. (See Annex G for further information regarding the progress that different LDCs have made in the NAP process). Whether or not a country has officially begun the NAP process, most countries have completed certain activities that will contribute to medium- and long-term planning for adaptation as a result of the Ongoing NAP GSP. These activities include: i) multi-stakeholder workshops on the NAP process in Benin, Togo and Tanzania; ii) stocking-taking of available information on climate change impacts and vulnerability in Cambodia, Lesotho and Niger; iii) establishing interministerial NAP committees to mainstream adaptation into policies and strategies in Zambia and Malawi; iv) the development of draft NAP roadmaps in, *inter alia*, Bangladesh, Liberia and Tanzania<sup>17</sup>; v) vulnerability and risk assessments in Lesotho and Tanzania; and vi) capacity-building to promote the integration of climate change considerations into development planning in *inter alia* Bhutan, Mali and Mozambique. Understanding the different baseline contexts in each targeted LDC with regards to progress in their NAP process is necessary to inform the one-on-one technical support supplied by the Ongoing and Expanded NAP GSP.

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

#### *Co-financing initiatives*

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

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

67. The Expanded NAP GSP will benefit from the Agricultural NAPs project in several contexts: i) applying best practices and lessons from developing NAP roadmaps for the agriculture sector in LDCs; ii) building on the technical expertise being mobilized by the ICI programme – the Expanded NAP GSP will benefit from a cadre of professionals in the fields of science, technology, and economics of adaptation; and iii) capitalizing on the knowledge exchange activities planned under the ICI programme, including regional exchanges on science and technology as well as global outreach regarding UNFCCC processes and the Green Climate Fund. In overlapping

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<sup>17</sup> Draft NAP roadmaps have also been developed in Burkina Faso, Malawi, Niger and Togo.

programme countries, the Expanded NAP GSP will also coordinate with the BMUB project to promote complementarity to support medium- to long-term planning for the agriculture sector, particularly with regard to developing agricultural sector NAP roadmaps and institutional capacity building (including in-country trainings and development under Outcome 1 and application of tools/training material under Outcome 2). The Expanded NAP GSP will also build on the work that the Agricultural NAPs is planning about increasing awareness of gender issues and mainstreaming gender concerns in the agricultural sector, and extend this to the entire NAP process. The Agricultural NAPs project will contribute co-financing of US\$4,000,000 to the Expanded NAP GSP.

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

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

#### ***With LDCF funding (adaptation alternative)***

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

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

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

- stocktaking of capacity gaps and needs;
- stocktaking of policy frameworks, existing thematic and sectoral assessments;
- stocktaking of policy frameworks for gender mainstreaming and strengthening the enabling environment for gender equality in climate change adaptation;
- facilitating NAP stakeholder dialogues;

- delivering UNDP/UNITAR/GIZ country level training package for interministerial NAP teams;
- conducting gender analyses and facilitating the mainstreaming of gender considerations into climate change adaptation plans;
- training on the economics of climate change adaptation – and cost-benefit analyses of adaptation options;
- appraising adaptation interventions;
- providing technical assistance on different NAP elements, including support towards formulating bankable proposals to access finance for such NAP elements and/or roadmaps;
- tracking and coding of adaptation expenditure and budgeting for adaptation in development plans;
- analysing climate scenarios and climate models;
- training on gender-sensitive monitoring and evaluation of the NAP process;
- training on the application of climate information for improved planning; and
- facilitating institutional coordination arrangements to initiate a NAP roadmap.

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

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

73. Under this Output, LDCs will be informed, through UNFCCC NAP focal points where applicable and through relevant international forums (e.g. NAP Expo), about the continued one-on-one support available to at least 20 countries through the Expanded NAP GSP. LDCs who have yet to request assistance from the Ongoing NAP GSP will be invited to submit official requests for support identifying the nature of the assistance required. A database of these requests will be established, including outstanding requests for support from LDCs to the Ongoing NAP GSP. LDCs that have already received support will also be approached to check if they require further support in specific areas. All LDCs will therefore have an opportunity to request support from the Expanded NAP GSP.

74. Capitalizing on the successful and long-standing partnership that UNDP and UNEP have built for supporting NAPs – amongst UN Agencies, NGOs and bilateral donors – each successful request will be reviewed in collaboration with NAP GSP partners, so that the appropriate expertise and support required are identified and delivered in a timely and cost-effective manner. Based on the official requests received and stocktaking of ongoing initiatives, detailed terms of reference will be developed for the one-on-one technical support to be delivered by the programme to each recipient LDC. The specific activities under this output are:

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

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

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

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

## **Component 2: Technical support**

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

*Co-financing amount for Outcome 2: US\$800,000*

*LDCF Project grant requested (UNEP): US\$2,000,000*

*Without LDCF funding (baseline)*

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

76. To promote medium- and long-term planning for adaptation, various initiatives (see Section III) are providing support to developing countries to advance their NAP processes. These initiatives provide *inter alia* economic guidance (e.g. *Economics of Climate Change Adaptation* and *Green Climate Fund (GCF) Readiness Programme*), sector-specific guidance (e.g. *FAO-ADAPT* for the agricultural sector and *Strengthening technical skills in Africa to advance NAPs* through GWP for water sector) and tools (e.g. *Climate Protection Programme for Developing Countries* and *PROVIA*) for the NAP process. In addition, the LEG provides overall guidance for the NAP process through publications and training workshops. The NAP Expo, which has taken place annually from 2013, also serves as a platform to introduce aspects of the NAP process and facilitate the exchange of knowledge and best practice among LDCs, international organizations, bilateral and multilateral agencies, as well as individual adaptation experts and practitioners.

77. In addition to these ongoing initiatives, the Ongoing NAP GSP sensitized more than 130 policy and technical officers from ministries of finance, planning and environment on the NAP process. To achieve this, region-based South-South exchanges were organized – through the modality of workshops – in collaboration with all NAP GSP partners. These workshops were tailored to the particular needs of LDCs, as identified through an online survey that took place in the inception phase of the ongoing project. Sessions focused on understanding the UNFCCC NAP technical guidelines, sharing country-based experiences, assessing requirements, opportunities and challenges, multi-sectoral approaches, in the context of mainstreaming adaptation planning into national development planning processes and strategies. Asian government ministerial representatives from 8 LDCs met in Thailand in Feb 2014, followed by meetings of African government ministerial representatives from more than 30 least developed African countries in Ethiopia in April 2014. These regional training events are being followed up by specific national technical and institutional support, in partnership with collaborating organizations and participating LDCs of the Ongoing NAP GSP. Nearly all LDCs<sup>18</sup> have benefited from the regional workshops, which include the following:

- Asia-Pacific LDCs (17-20 February, Pattaya, Thailand). Participating countries: Afghanistan, Bangladesh, Bhutan, Cambodia, East Timor, Lao PDR, Nepal, and Yemen.

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<sup>18</sup> The only LDC to not benefit from regional training workshops was Eritrea, due to government representatives not being able to travel to the regional training workshop in Addis Ababa.

- Anglophone Africa LDCs (14-17 April, Addis Ababa, Ethiopia). Participating countries: Angola, Ethiopia, Gambia, Lesotho, Liberia, Malawi, Mozambique, Rwanda, Sierra Leone, Somalia, Sudan, Tanzania, Uganda and Zambia.
- Francophone Africa LDCs (21-24 April, Addis Ababa, Ethiopia). Participating countries: Benin, Burkina Faso, Burundi, Comoros, Djibouti, Guinea, Guinea Bissau, Equatorial Guinea, Madagascar, Mali, Mauritania, Niger, CAR, DRC, Sao Tome and Principe, Senegal, Chad, and Togo.

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

79. Support was also provided to LDCs through the Ongoing NAP GSP to apply relevant existing tools and methods<sup>19</sup>. A skills assessment approach was developed by UNITAR, under the umbrella of the ongoing NAP GSP, which may be implemented in countries that request training on NAP-related tools and methodologies. Furthermore, the Ongoing NAP GSP prepared a user companion for supporting NAP development with PROVIA Guidance. This provides additional guidance about choosing and applying methods and tools for NAP steps and activities that can be further built on.

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

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

#### *Co-financing initiatives*

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

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

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<sup>19</sup> Examples include drawing from existing packages of relevant tools and methods on specific technical issues (e.g. PROVIA guidance on vulnerability impact assessments, economics of adaptation, Decision Support Framework tool for Ecosystem-based Adaptation, Climate Public Expenditure and Investment Reviews (CPEIRs), 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).

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

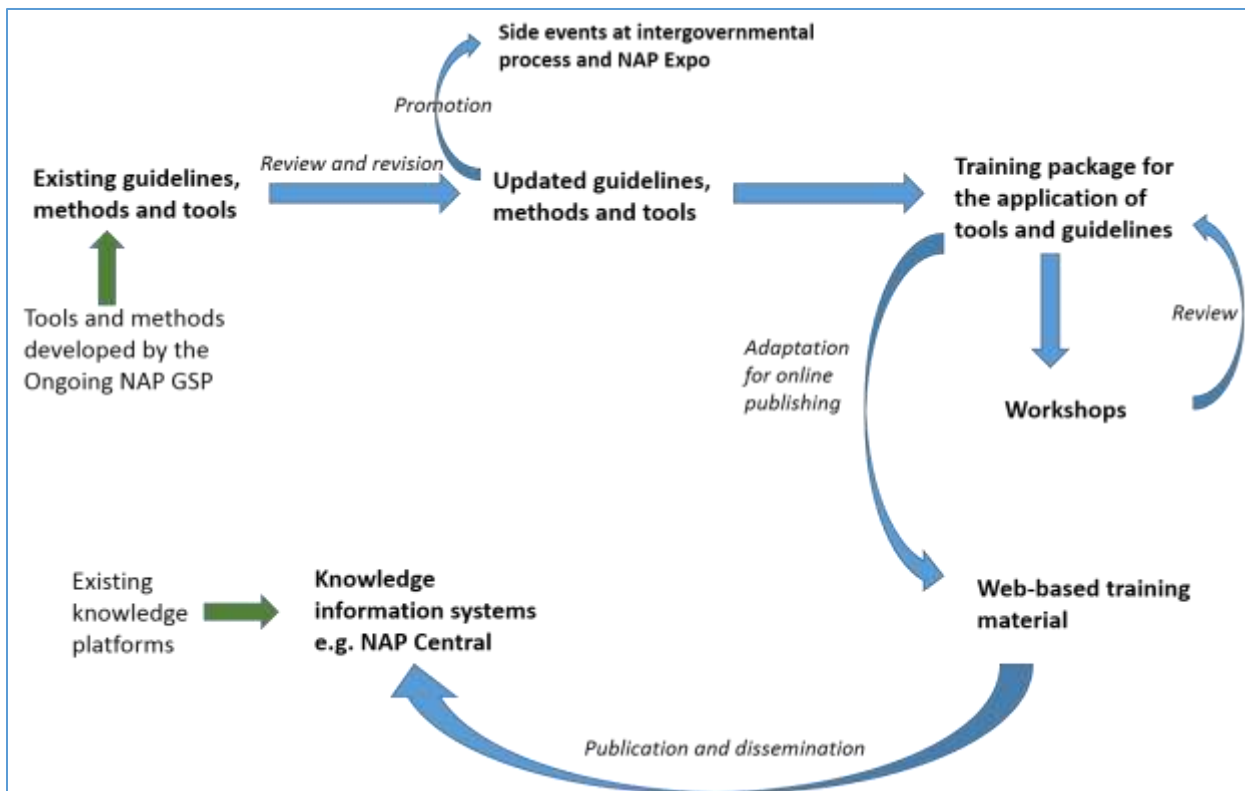
#### **With LDCF funding (adaptation alternative)**

85. Under Outcome 2, user-friendly tools and methods will continue to be adopted or modified as per the NAP context and offered for use to LDCs to inform a comprehensive and iterative NAP process. There will be an emphasis on harnessing existing tools and manuals developed by NAP GSP partners rather than developing new ones (see Annex H). For example, the PROVIA companion guidance will be further developed and tested to guide the VIA assessment for specific sectors. There will also be an emphasis on tools and manuals to mainstream gender considerations into climate change adaptation strategies, such as the IUCN/UNDP/GGCA Training Manual on Gender and Climate Change<sup>20</sup>.

86. The tools and guidelines provided through the Expanded NAP GSP will cover topics identified in consultation with LDCs such as: a) development and application of climate scenarios; b) vulnerability and risk assessments; c) cost-benefit analyses of adaptation interventions; d) CPEIRs; e) financial costing of adaptation interventions; and f) decision support frameworks for choice of adaptation options in various contexts. The programme will enhance access to training and knowledge on the application of tools for the NAP process by: a) reviewing and updating the current available tools; b) promoting the use of the revised tools; c) developing a training package; and d) promoting knowledge sharing on the application of the tools across sectors. This will enhance capacity to undertake the NAP process through improving the availability and awareness of the tools as well as increasing national stakeholders' technical skills to apply the relevant tools to inform medium- to long-term adaptation planning. For instance, tools developed will be piloted under Outcome 1 during the provision of one-on-one support to LDCs. Please see Figure 2 for a schematic view of how tools will be developed and used to enhance medium- to long-term planning for climate change adaptation.

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<sup>20</sup> Other tools include the UNDP guidebook: Gender, Climate Change, and Community-Based Adaptation: A Guidebook for Designing and Implementing Gender-Sensitive Community-Based Adaptation Programmes and Projects



**Figure 2: Review, development and application of tools to support the NAP process**

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

- Separate training workshops will be convened for the West Africa (Francophone Africa), Southern/East Africa (Anglophone Africa) and the Asia/Pacific regions. Haiti, a French-speaking Caribbean nation, will be invited to join the West Africa workshop.
- A total of 6 training workshops – two per region – will be convened over the course of the project.
- At least three participants from each LDC will be invited for training. LDCs will be supported by project staff and workshop facilitators to identify participants. Relevant national gender equity targets of participating countries and international agreements, such as the Fifth Sustainable Development Goal<sup>21</sup>, will guide the recruitment of participants. The project will promote the identification of female participants.
- A training module on gender and adaptation planning will be developed and delivered at least once in each of the three regions. This will be further explored with partners (UN Women and GGCA).
- The agenda for the training will include – but will not be limited to – priority topics identified by LDCs during the stakeholder consultations: i) gender mainstreaming; ii) adaption planning and climate change finance; and iii) long-term, sector-specific vulnerability assessments and identification of appropriate adaptation options. Additional training topics will be identified through a survey of LDCs to identify newly emerging priority training needs.
- The training provided will be based on interactive and participatory learning approaches.

<sup>21</sup> Achieve gender equality and empower all women and girls

- Existing expert networks (such as those established by the Ongoing NAP GSP and other related projects) will be used to invite workshop trainers and facilitators.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### ***Without LDCF funding (Baseline)***

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

90. To address the constraints described above, the Ongoing NAP GSP has invested substantially in enhancing knowledge sharing on NAPs. During this project, LDCs have been provided with reliable, updated, and user-friendly products to better understand the NAP process and relate to other countries undertaking similar processes.



The programme has launched an interactive web platform, housed currently on UNDP's Adaptation Learning Mechanism (ALM) portal, until it is transferred to an independent website which will group all UNEP-UNDP GSPs together. This platform features programme and partners' news on NAP-related events for LDCs, comprehensive materials from NAP GSP Regional Training Workshops, LDC programme country profile sections focusing on specific national support, and a library of publications, tools and guidelines to support NAP process and learning. The content on this portal focusses on user-friendly and visual presentation of information, with a variety of interactive tools (maps, timelines, presentation slideshows) and multimedia options (country focused films and photo slideshows)<sup>22</sup>. The NAP GSP monthly e-newsletter reaches more than 1,900 subscribers disseminating important NAP GSP related updates and links to further information and resources. The portal also supports North-South and South-South knowledge exchange and provides links to relevant practitioners' networks on NAPs.

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

#### *Co-financing initiatives*

91. UNDP provided US\$4,900,000 of funding to implement the **Strategic Initiative to Address Climate Change in Least Developed Countries** (aka Boots Programme) (2014–2017). This on-the-ground initiative aims to build capacity for climate change policy in least developed and low-income countries. In particular, the Boots Programme works towards achieving the following outcomes: i) support governments and civil society in their preparations for negotiations with UNFCCC on themes that include climate finance; ii) improved capacity of governments and other stakeholders to integrate and implement climate change concerns into development planning and policy processes; iii) mainstream climate change in the UNDP portfolio; iv) improve UNDP's knowledge management and communication of climate change policy; and v) enhance the Country Offices climate change portfolio. To achieve these outcomes, UNDP focused on strengthening the capacity of their Country Office to provide policy advice on climate change at the country level. The Expanded NAP GSP will utilise the improved knowledge management and communication mechanisms established through the Boots Programme to advance knowledge on the NAP process in LDCs. The Boots Programme will contribute co-financing of US\$4,900,000 to the Expanded NAP GSP.

#### **With LDCF funding (adaptation alternative)**

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

93. During the Ongoing NAP GSP, it has become evident that knowledge management must not only provide an interactive platform for exchange, but also focus on virtual training mechanisms which are more cost effective and can be documented, accessed, and replicated easily. During the Expanded NAP GSP, an exit strategy will be designed – with the collaboration of the wide network of GSP partners – to promote further analysis of experiences

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<sup>22</sup> This information is available on: <http://www.undp-alm.org/nap-gsp-countries>.

gained during the Ongoing NAP GSP and inform training modules. Building on the piloted webinar mechanism developed within the Ongoing NAP GSP, a series of regular webinars will be designed to disseminate technical expertise and provide ‘virtual partnering’ to participating LDC governments. These webinars will be developed and coordinated by UNDP with input from programme partners, such as UNITAR. Moreover, NAP technical guidance relevant to LDCs will be integrated into existing training modules on adaptation to climate change from programme partners and associated networks.

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

95. Finally, as part of the exit strategy, this Outcome will coordinate with and build on the platform for public-private partnership established through the SCCF NAP GSP “Assisting non-LDC developing countries with country-driven processes to advance National Adaptation Plans (NAPs)” to provide technical expertise to identify entry points for engagement of private sector in adaptation technologies/businesses. Some entry points could include: private-sector involvement in formulation of national or sectoral plans/scenarios, corporate programmes to achieve resilience, venture capital investments in adaptation technologies or studies on investment opportunities. Along with these entry points, the project can provide technical guidance to a few selected LDCs to: a) clearly articulate “business cases” to involve the private sector in adaptation investments as part of the overall NAP process; and b) make recommendations to formulate policy frameworks that attract active engagement of the private sector in the overall NAP process. The lessons learned through this process will be shared through with all LDCs through the strengthened knowledge-sharing platforms to promote South-South and North-South exchange, as well as partnerships and investment opportunities with the private sector.

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

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

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

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

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

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

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

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

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

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

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

## **Partnerships**

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

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

98. The Least Developed Country Expert Group (LEG) was established as part of the Marrakesh Accords during COP-7. The objective of the LEG is to advise LDCs concerning their preparation and implementation of NAPAs. Subsequent to this, the LEG has been further involved in the development of guidelines for the NAP process in LDCs. Similarly to the Ongoing NAP GSP, the Expanded NAP GSP will apply the guidelines in LDCs, tailoring as necessary to the local context. Additionally the project will collaborate closely with development partners on related efforts. These include the initiatives described below.

99. The *Green Climate Fund (GCF) Readiness Programme* (UNEP, UNDP and WRI) (with a total budget of €10 million) offers needs-oriented support to countries for accessing and using the GCF once it is fully operational. It is implemented by UNDP, UNEP, WRI and funded by the German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety (BMU). This programme will include: i) specific capacity building programmes in 9 target countries, of which 2 are LDCs (Nepal and Benin); ii) the development of national project pipelines on the basis of existing and potential national plans and policies; and iii) the development of in-country monitoring tracking systems for climate finance and its effectiveness with feedback mechanisms to report shortcomings to the GCF board.

100. *Economics of Climate Change Adaptation – Supporting National/Sub-national Adaption Planning and Action* (2012–2016) is jointly implemented with USAID ADAPT Asia-Pacific and UNDP. The goal of this programme is to provide training on managing climate change finance to government representatives of least developed countries and developing countries across Asia. Consequently, the programme will identify gaps in capacity development needs to help countries formulate national adaptation plans and access climate finance. The expected outcomes of this initiative is: i) training of government officers to estimate the economic costs and benefits of proposed climate change adaptation projects, as well as to identify adaptation options in the agriculture and water sectors; ii) supporting the design and appraisal of investment projects for adaptation that can be financed from current and emerging sources of domestic and international climate finance; iii) developing a region-based training program that can provide sustained technical advisory support on the economics of adaptation to countries developing national adaptation plans and investment projects; iv) establishing policy dialogue forums with Ministries of Planning/Finance and line ministries to discuss the economics of adaptation.

101. The objective of the LDCF-funded *Building capacity for LDCs to participate effectively in intergovernmental climate change processes* project is to strengthen institutional and technical capacities in LDCs for more effective participation in intergovernmental climate change negotiations and coordination of climate

change efforts. This project is implemented by UNDP and UNEP and is aligned with Expanded NAP GSP as it: i) provides support to countries to enhance adaptation planning at the national level; ii) facilitates the establishment of national systems for collecting, analysing disseminating and archiving climate change information – information that will inform national adaptation plans; and iii) builds the capacity of negotiators, which will improve access to knowledge and increase the likelihood of accessing climate finance. The Expanded NAP GSP will collaborate with this project to strengthen institutional capacity for integrated adaptation.

102. The GEF-funded Global Support Programme for the Preparation of National Communications and Biennial Update Reports for non-Annex I Parties under the UNFCCC – jointly implemented by UNEP and UNDP – provides institutional and technical support to non-Annex I countries to implement these reporting guidelines on demand and in support of UNFCCC requirements. The Expanded NAP GSP will build on the institutional and technical capacities that have been strengthened for adaptation through this programme.

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

104. The Government of Japan provided US\$2 million to support Preparedness for Resilient Recovery (PRR). This project, implemented by UNDP, aims to prepare governments, civil society and communities for the challenges associated with long-term recovery from climate-related disasters in Ecuador, Bolivia, Cape Verde, Burkina Faso, Niger, Rwanda and Angola. In particular, PRR will provide technical input for policy and institutional frameworks on preparedness for recovery from natural disasters. Recovery strategies include: i) strengthening capacities for pre-disaster recovery planning and the management of recovery processes; ii) providing rapid post-crisis support to governments for the assessment of recovery needs; iii) integrating risk reduction considerations into recovery initiatives; iv) promoting the use of recovery processes as an opportunity to develop political, financial and technical commitments to disaster reduction plans and programmes; v) developing a recovery goal with major stakeholders and strategic partners, including the media and the academia; vi) integrating preparedness for recovery as a part of the UN disaster response and the UN Development Assessment Framework (UNDAF) by UN Country Teams; and vii) including recovery in the local development strategy to integrate disaster preparedness into normal development activities. In participating LDCs, the Expanded NAP GSP will build on the work of the PRR project to integrate long-term planning for adaptation, as well as disaster risk management, into national development plans.

105. The objectives of the *Low-Emission Capacity Building (LECB) Programme* – supported by UNDP, the European Union, the Government of Germany, and the Government of Australia – are to: i) facilitate cross-sectoral political dialogue on nationally appropriate mitigation actions (NAMA); and ii) strengthen technical capacity and facilitate public-private partnerships. The LECB programme lays a critical foundation from which work can be undertaken, including *inter alia*: a) climate scenarios and adaptation planning in light of agreed mitigation interventions at the country level (Outcome 1); and b) further public-private collaboration to finance technological investments related to adaptation (Outcome 1 and Output 3.2). Moreover, the LECB programme is currently developing a methodology for providing technical assistance to countries on identifying, tracking and monitoring the allocation, management and results of public expenditures related to climate change (in line with UNDP support on Climate Public Expenditure and Institutional Reviews [CPEIR]) and carrying out private sector assessments in Chile, Mexico, Thailand, Indonesia, and Vietnam. This methodology will be included in workshops/trainings undertaken within Component 2 of the Expanded NAP GSP.

106. The *UNEP LIVE*<sup>23</sup> portal – launched in January 2014 – offers a dynamic platform to collect, process and share environmental science and research. It provides a single gateway to accessing and locating country-level statistics as well as providing access to Satellite/Space Programmes such as GEOSS Portal, Earthnet Online, USGS Earth Explorer, as well as an *in situ* Programme called Argo. This portal will provide data access to both the public and policy makers using distributed networks, cloud computing, big data and improved search functions with the objective of filling gaps between data providers and consumers. UNEP LIVE will also support streamlining of national monitoring, reporting and verification of data for global and regional environmental goals. The portal includes communities of practice that gather experts in various fields relating to the environment and bring them on a common platform that provides access to discussion and exchange. Expanded NAP GSP will build on these communities of practice – such as GEO SIDS and SFP COP – by sharing good practices and lessons of relevance to medium- to long-term national, sectoral and local planning, and harnessing expertise relevant to the NAP process through Outcome 3.

107. The *UNEP Climate Technology Centre and Network (CTCN)* facilitates the international cooperation, development and transfer of technology for climate change adaptation and mitigation. Expanded NAP GSP will build on this initiative by facilitating the exchange of knowledge and skills for adaptation technology. In particular, training packages and workshops for the application of adaptation technology will promote the transfer of this technology. Moreover, the CTCN will integrate NAP elements into its adaptation portfolio. The CTCN will then be available to countries as an additional support mechanism for advancing the NAP process. The CTCN can help securing further technical assistance where requests are beyond the reach of NAP GSP (via a third party CTCN Consortium or Network Member) and can serve as an easy access mechanism for technical assistance support on top NAP priorities. In addition CTCN can facilitate further South-South knowledge sharing.

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

- NAP Global Network, which is managed by GIZ, USAID and JICA. The network aims to enhance support for the NAP process in developing countries by: i) facilitating learning and knowledge exchange on the NAP process; ii) improving coordination and collaboration among bilateral development partners; and iii) supporting enhanced leadership on adaptation at the national level in developing countries.
- Global Adaptation Network (GAN), which has a global function mobilising knowledge and technologies to support adaptation, including linking the APAN and AAKNet initiatives
- The Asia-Pacific Adaptation Network (APAN) 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.
- Africa Adaptation Knowledge Network (AAKNet) helps coordinate, facilitate, harness and strengthen the exchange of information and knowledge; build new alliances to enhance collaboration and innovation; foster and support strategic planning and policy processes in African countries.
- Communities of Practice (CoPs) within the Asia-Pacific Adaptation Network (APAN) and ADAPT- Asia Pacific “Knowledge Sharing Strategies and Platform” which 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.

109. The *Climate Protection Programme for Developing Countries (CaPP)* is funded by the GIZ. The programme provides tools that have a thematic focus to support the LEG guidelines on the NAP process. Under this programme, GIZ has developed the Stocktaking for National Adaptation Planning (SNAP) tool. This tool enables stocktaking of the planning capacities within a country and thereby identifies entry points for the NAP process. In addition GIZ, in collaboration with UNDP and UNITAR, has developed a NAP country-level training tool organised through a series of modules and aligned with the main elements of the NAP process (as per the LEG Technical Guidelines), which can be used when providing countries with support to address their particular

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needs. This tool is already being used in providing countries with one-on-one support under the Ongoing NAP GSP and it will continue being used under the Expanded NAP GSP. The themes for the tools developed through the CaPP include: i) climate information; ii) mainstreaming; and iii) mandate/institutional capacities. The Expanded NAP GSP will build on and promote the GIZ/UNDP/UNITAR Country level NAP Training Programme and other GIZ tools – in particular SNAP – through Outcomes 1 and 2.

#### The World Health Organisation (WHO)

110. WHO has developed a support platform providing guidance to protect health from climate change through health adaptation planning. This guidance promotes an iterative and cross-sectoral process to integrate the health risks of climate change into the NAP process. The guidance to develop a health component of the NAP includes vulnerability assessments, economic tools, gender, early-warning systems, indicators for health system resilience and other health sector-related NAP guidance. The Expanded NAP GSP will promote this guidance as part of a cross-sectoral approach to advancing the NAP process.

#### The Global Water Partnership (GWP)

111. GWP is implementing a number of programmes that support NAP processes relating to water in LDCs, for example the *Strengthening technical skills in Africa to advance NAPs* programme. The Expanded NAP GSP will build on these programmes through further technical capacity development within the water sector. Moreover, the GWP has established a number of platforms for knowledge sharing within the water sector. The *Caribbean Water and Climate Knowledge Platform* is an example of such a platform. The Expanded NAP GSP will publish knowledge on good practices, lessons learned and case studies from the water sector under Outcome 3, thereby building on these platforms.

#### Food and Agriculture Organisation (FAO)

112. Through the framework programme *FAO-Adapt*, FAO is promoting medium-to long-term adaptation to climate change in agriculture, fisheries and forestry. FAO provides information and technical guidance – including access to a network of technical experts on genetic resources for food and agriculture – that supports LDCs to advance the NAP process. The Expanded NAP GSP will work closely with the FAO to leverage this information, knowledge and technical expertise to promote medium- to long-term adaptation in LDCs. For example, relevant knowledge will be disseminated into – and drawn from – dedicated knowledge and programming initiatives undertaken by the FAO on climate smart agriculture.

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

113. IFAD's Adaptation for Smallholder Agriculture Programme (ASAP) – funded by the International Fund for Agricultural Development (IFAD) – was launched in 2012 to use climate and environmental finance for improve smallholder farmers' access to technical information and tools. ASAP has a US\$300 million multi-year and multi-donor financing window, providing a new source of co-financing to scale up and integrate climate change adaptation across IFAD's approximately US\$1 billion per year of new investments. These investments target *inter alia*: i) strengthening infrastructure<sup>24</sup>; ii) enhancing natural infrastructure, such as increasing the resilience of riparian areas; and iii) developing information/'software' infrastructure<sup>25</sup>. The Expanded NAP GSP will increase and disseminate the information, knowledge and technical guidance provided by IFAD, through knowledge-sharing activities under Component 3.

#### UNITAR

114. *One UN Climate Change Learning Partnership (UN CC:Learn)* implemented by UNITAR is a collaborative initiative involving 33 multilateral organizations which supports countries in designing and implementing country-driven, results-oriented and sustainable learning to address climate change. The initiative was launched at the 2009 Copenhagen Climate Change Summit and has recently been extended with a further

phase of funding (2014-2017). Learning material from this and other UNITAR initiatives will be utilised in the training provided the Expanded NAP GSP.

115. The Expanded NAP GSP will build on the following initiatives to improve knowledge sharing and promote South-South and North-South cooperation on medium-to long-term adaptation planning:

- UNEP’s African Ministerial Conference on the Environment (AMCEN) is a forum which convenes every second year and provides advocacy in African countries for environmental management as well as guidance on political events relating to environmental management.
- The Secretariat of the Pacific Community (SOPAC) Applied Geo Science and Technology Division has the objective to apply geoscience and technology to promote development and data-driven adaptation within Pacific Island countries. The Division provides assistance to member countries through the following technical programmes: i) Oceans and Islands Programme; ii) Water and Sanitation Programme; and iii) Disaster Reduction Programme. Technical support is provided across member countries that promote South-South and North-South cooperation on technical themes, including natural resource economics, GIS and remote sensing, technical equipment and services and data management.
- The Caribbean Community (CARICOM) Secretariat promotes the achievement of a number of economic development goals. Among other objectives, the secretariat improves knowledge sharing in the Caribbean region.
- The Forum of Ministers of Latin America and the Caribbean is a forum which convenes every year – provides advice to countries in the LAC region on advocacy for environmental management as well as guidance on political events relating to environmental management.
- The International Centre for Climate Change and Development (ICCCAD) supports growing capacity of Bangladesh stakeholders, while enabling international stakeholders and organisations to benefit from training in Bangladesh, where they are exposed to knowledge from the growing field of climate change adaptation. Through the expertise of ICCCAD and its local partners, international organisations will be exposed to relevant and grounded knowledge that can be shared and transmitted around the world for the benefit of other LDCs and their governments, donors, and international non-governmental organisations (NGOs). Courses typically run for seven days in Bangladesh; 25 participants – with similar backgrounds and expertise but with different nationalities, particularly Asian and African – receive training from three international resource experts. ICCCAD has piloted this model in a “mobile” modality in Africa (tailoring the workshops’ topics to region-specific needs and challenges), and is exploring conducting it in other countries in the future. The Expanded NAP GSP will integrate information from ICCCAD into training and workshop materials that are developed within Components 2 and 3.
- The Nazca Climate Action portal – launched with a first group of non-state actors – will progressively showcase the extraordinary range of game-changing actions being undertaken by thousands of cities, investors and corporations for adaptation to climate change. Many of these actions – ranging from increases in energy efficiency and deployment of renewables to carbon pricing policies and investments in adaptation – are happening in partnership with governments, organisations and international bodies, including the United Nations.
- UNITAR and the University of Geneva’s online courses on National Adaptation Plans and climate change adaptation in Small Island Developing States (SIDS).

### **Stakeholder engagement**

116. The implementation strategy for the project is dependent on comprehensive stakeholder participation. In addition to UNDP and UNEP, other organisations will be involved in this initiative as responsible parties and collaborative partners. National partners will include relevant planning ministries (e.g. Finance and Planning/Development), as well as key line ministries (e.g. Agriculture, Water, Public Works, Energy, Environment, Health, Women’s Affairs and Forestry). A stakeholder involvement plan will be developed during the project inception phase to ensure that all stakeholders and partners are clear about their roles in the Expanded NAP GSP and can be held accountable to their roles.

**Table 1: Relevant partners and stakeholders identified for engagement by project outcome/output**

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



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

Outcome	Output	Lead Institution	Key Partners	Key Responsibilities
	<b>Output 3.2:</b> <i>Develop exit strategy for knowledge sharing and sustaining North-South, South-South, and an extended network of partners' cooperation.</i>	<b>UNDP</b>	UNEP, bilateral/multilateral organizations, national counterparts, ALM, Chambers of Commerce and private sector.	Develop materials with good practices and case studies for dissemination.  Conduct outreach activities with the private sector for involvement in the NAP process.  Collect and disseminate knowledge and information from piloted activities.

### Mainstreaming gender

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

- Participation from relevant ministries in all of the programme's activities will be encouraged to ensure that the needs and challenges of women, youth, and other marginalised population groups are represented in the NAPs national teams (e.g. inclusion of relevant ministries and women's group).
- One-on-one technical support provided to countries will include gender analyses and facilitating the mainstreaming of gender considerations into climate change adaptation plans, as well as the sensitization to the need to integrate this.
- LDCs will be encouraged to invite female participants to the regional targeted training workshops, in line with relevant national gender equity targets of participating countries and international agreements, such as the Fifth Sustainable Development Goal.
- A separate training module on gender and adaptation planning will be developed and delivered at least once in each of the three regions.
- Training sessions and workshops will be delivered with gender sensitivity to ensure that: a) both male and female participants are empowered to participate meaningfully in the trainings; and b) all participants are made aware of their responsibility to respect the views of all of their colleagues during training sessions. Trainers will be required to have the skills and experience necessary to plan and facilitate gender-sensitive training.
- Partnerships with relevant organisations, such as UN Women and GGCA, will be explored to ensure that the technical support and training provided through the programme is gender-sensitive and inclusive.
- Knowledge generated by the project will be gender-sensitive, ensuring inclusion and sensitivity towards differences among target audiences.
- Expanded NAP GSP will use appropriate access and communication channels to reach men and women equally when disseminating knowledge and training material. In particular, national climate and gender advocacy groups will be enrolled in the knowledge dissemination network.
- Gender specific indicators and targets have been included in the project results framework to monitor the progress of gender mainstreaming in the programmes activities.
- Gender-specific allocations are specified in the budget (see budget notes).

118. The Technical Support Unit (TSU) will be responsible for monitoring and reviewing gender sensitivity in the project activities. In addition to gender, the project will also ensure that the needs of other vulnerable groups as the elderly, youth, children and less-abled will be prioritised.

#### IV. PROJECT RESULTS FRAMEWORK

<p><b>Applicable SOF (e.g. GEF) Strategic Objective and Programme:</b> Least Developed Countries Fund (LDCF)  <b>Objective 2:</b> Strengthen institutional and technical capacities for effective climate change adaptation.  <b>Objective 3:</b> Integrate climate change adaptation into relevant policies, plans and associated processes.</p>					
<p><b>Applicable SOF Expected Outcomes (relating to the LDCF Results-Based Management Framework):</b>  <b>Outcome 2.3:</b> Institutional and technical capacities and human skills strengthened to identify, prioritise, implement, monitor and evaluate adaptation strategies and measures.  <b>Outcome 3.1:</b> Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened.</p>					
<p><b>Applicable SOF (e.g. GEF) Outcome Indicators (relating to the LDCF Results-Based Management Framework):</b>  <b>Indicator 9:</b> Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures.  <b>Indicator 11:</b> Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.</p>					
Objective/ Outcomes	Indicator	Baseline	End-of-project target	Source of verification	Risks/ Assumptions
Project objective: Strengthen the institutional and technical capacities of LDCs to start and/or advance their National Adaptation Plan process.	Change in institutional and technical capacity of LDCs to start and/or advance their National Adaptation Plan process. <sup>26</sup>	The current functional and operational institutional capacities to advance medium- to long-term National Adaptation Plans among LDCs are varied and countries have received differing amounts of support from Ongoing NAP GSP as well as the other	At least 20 LDCs have been supported to increase their institutional and technical capacity to start and/or advance their National Adaptation Plan process and have progressed in the capacity assessment score as evidenced by radar charts.	A spidergram will be constructed for each country to measure how institutional and technical capacity has changed between the beginning of the project interventions to the end of project intervention period. This scoring methodology is adapted from that suggested by the LDCF/SCCF AMAT. The scoring is based on three criteria (separate for measuring institutional and technical capacity, respectively) expressed as questions (these criteria will be further validated at inception phase):  <b>Institutional capacity:</b> (i) Has an authoritative body been tasked with coordination of the NAP process in-country? (ii) Are those arrangements based on clear and strong mandate(s);	Effective coordination at national level.  LDC government representatives and stakeholders recognise the value of project-related training initiatives.

<sup>26</sup> This indicator is aligned with AMAT indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.

		bilateral and multilateral projects.		<p>(iii) Do those arrangements include broad stakeholder participation across numerous relevant, climate-sensitive sectors?</p> <p><b>Technical capacity:</b></p> <p>(i) adaptation options are identified;</p> <p>(ii) adaptation options are prioritized;</p> <p>(iii) implementation of adaptation options has started.</p> <p>For institutional and technical capacity the following scoring scale will be used. For each criterion: not at all (= 0), partially (= 1) or to a large extent/completely (= 2). The list of criteria is not exhaustive, and may be adjusted given the nature of the support provided to countries and the context of interventions. An overall score per country is estimated, with a maximum score of 6 (maximum per institutional and technical capacity, respectively) given three criteria, preferably visualized in a spidergram.</p>	
<p><b>Outcome 1: LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and</b></p>	<p>Number of LDCs receiving tailored support to advance their NAP.</p>	<p>15<sup>27</sup> countries received tailored support to advance their NAP during the Ongoing NAP GSP.</p>	<p>At least 20<sup>28</sup> additional countries receive tailored support to advance their NAP process</p>	<p>In-country workshops, mission reports produced and training materials disseminated.</p>	<p>Coordination with development partners on NAP-related support activities</p>

<sup>27</sup> The workplan for the Ongoing NAP GSP targeted 12 countries, however, 3 additional requests were able to be supported by the project.

<sup>28</sup> Resources under the expanded project will also fund follow-up support to at least 6 countries as targeted under the Ongoing NAP GSP that request follow-up support.

<b>budgets (led by UNDP).</b>					
<b>Outcome 2: Tools and approaches to support and implement elements of the National Adaptation Plan process are accessible to all LDCs (led by UNEP).</b>	Number of LDCs capacitated with increased knowledge of tools and methods available to advance the NAP process.	LDCs have gained an understanding of the fundamental elements of the NAP process through and a basic knowledge of the tools currently in existence as a result of regional trainings undertaken under the Ongoing NAP GSP. However, the capacity of relevant government technicians in LDCs to apply tools, methods and guidelines to undertake key steps in the NAP process is limited.	By the end of the project, all LDCs (specifically at least 3 government technicians from each participating LDC) have increased knowledge of tools and methods available to advance the NAP process.	Surveys and post-workshop evaluations (tests <sup>29</sup> , questionnaires and interviews) before and after training. Follow-up surveys a few months after trainings.  The surveys will establish if government technicians are able to: <ul style="list-style-type: none"> <li>• Describe the NAP process and how it differs from short-term adaptation planning.</li> <li>• Identify relevant sectors in-country that should be included in the NAP process.</li> <li>• Identify tools and methods required to advance medium- to long-term planning for adaptation.</li> </ul>	Strong coordination with development partners on NAP-related support activities.

<sup>29</sup> The option to use the Kirkpatrick evaluation model will be explored when designing the surveys.

	<p>Number of training packages developed/updated for LDCs to advance their NAP process.</p>	<p>Ongoing NAP GSP, LEG, UNFCCC, GIZ, WHO, UNITAR and others have developed training materials and guidelines on the NAP process. No training packages compiling different training materials and tools have been developed to date for LDCs.</p>	<p>By the end of the project, at least 2 comprehensive thematic training packages – containing updated tools, methods or guidelines - developed for LDCs to advance their NAP process.</p>	<p>Training packages produced. Review of the training documents produced and distributed to the relevant government staff.</p>	
	<p>Number of regional targeted training workshops conducted.</p>	<p>4 regional training workshops were conducted during the Ongoing of NAP GSP. These regional training workshops focussed on enhancing LDCs understanding of the NAP process and NAP technical guidelines. They provided information on the variety of tools that can</p>	<p>By the end of the project, at least 6 additional targeted training workshops conducted on priority themes of the NAP with the participation of all LDCs.</p>	<p>Workshop reports. Training material delivered at the workshops. Attendance registers from the workshops.</p>	<p>LDC representatives will have the time to attend the regional targeted training workshops.</p>

		support the NAP process. The LEG has also conducted 4 regional training workshops (Asia, Pacific Islands, Anglophone Africa and Francophone Africa).			
	Percentage of participants in the regional targeted training workshops that are women.	20% of the participants in the regional training workshops conducted during the first phase of NAP GSP were women.	At least 40% of the participants in the regional targeted training workshops are women.	Workshop reports. Attendance registers from the workshops.	Women participants are selected by individual LDCs.
<b>Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.</b>	Percentage of participants in the online thematic discussions, web-based trainings and webinars who report interest and/or uptake of lessons learned and best practices.	Lessons learned and best practices are sometimes shared regionally on an ad-hoc basis (e.g. amongst Pacific Island states), but there is limited sharing of lessons learned and best practices among all LDCs.	By the end of the project at least 70% of the participants in the online thematic discussions, web-based trainings and webinars report interest and/or uptake of lessons learned and best practices shared.	Surveys conducted at the outset of the project and at regular intervals – including at mid-term and end of the project –with the participants of the online thematic discussions, web-based trainings and webinars.	Sufficient cooperation between relevant government agencies and stakeholders in the sharing of relevant information.  Sufficient cooperation between external donors to align initiatives of relevance to the NAP process.

	<p>Number of case studies for medium- to long-term adaptation planning developed.</p>	<p>3 country briefing notes will be produced by August 2015 through Ongoing NAP GSP. In addition, 5 NAP Roadmap posters will be produced through Ongoing NAP GSP.</p>	<p>By the end of the project, at least 10 additional country case studies for medium- to long-term adaptation planning developed.</p>	<p>Review of case studies developed. Review of information available through the knowledge-sharing platforms.</p>	
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## V. TOTAL BUDGET AND WORKPLAN

<b>Award ID:</b>	00095671		<b>Project ID(s):</b>	00099702						
<b>Award Title:</b>	PIMS 5399 Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).									
<b>Business Unit:</b>	UNDP1									
<b>Project Title:</b>	PIMS 5399 Expanding the Ongoing Support to Least Developed Countries (LDCs) with country-driven processes to advance National Adaptation Plans (NAPs).									
<b>PIMS no.</b>	5399									
<b>Implementing Partner (Executing Agency)</b>	UNDP <sup>30</sup>									
<b>Outcome</b>	<b>Responsible Party</b>	<b>Fund ID</b>	<b>Donor Name</b>	<b>Atlas Budgetary Account Code</b>	<b>ATLAS Budget Description</b>	<b>Amount Year 1 (USD)</b>	<b>Amount Year 2 (USD)</b>	<b>Amount Year 3 (USD)</b>	<b>Total (USD)</b>	<b>Budget note</b>
<b>Outcome 1: LDCs have enhanced capacities to advance medium to long-term adaptation planning processes in the context of their national development strategies and budgets.</b>	UNDP	62160	LDCF	61300	Salaries - IP Staff	37,000	186,000	186,000	409,000	a
				71200	International Consultants	771,105	494,260	494,260	1,759,625	b
				71300	Local Consultants	120,000	140,000	140,000	400,000	c
				71600	Travel	125,000	125,000	128,375	378,375	d
				74200	Audio visual and Print Prod Cost	17,000	18,000	18,000	53,000	e
				75700	Training, Workshops and Conferences	100,000	100,000	100,000	300,000	f
					<b>Total</b>	<b>1,170,105</b>	<b>1,063,260</b>	<b>1,066,635</b>	<b>3,300,000</b>	
<b>Outcome 3: Knowledge on advancing the NAP process is captured, shared and sustained.</b>	UNDP	62160	LDCF	71200	International Consultants	39,000	89,000	50,000	178,000	h
				71300	Local Consultants	15,000	15,000	15,000	45,000	i
				74200	Audio visual and Print Prod Cost	25,000	26,000	26,000	77,000	j
					<b>Total</b>	<b>79,000</b>	<b>130,000</b>	<b>91,000</b>	<b>300,000</b>	

<sup>30</sup> Please see UNEP project document for budget details of UNEP-implemented outcomes/outputs

<b>Project Management Costs</b>	UNDP	62160	LDCF	61300	Salaries - IP Staff	36,500	36,500	36,500	109,500	a
				73100	Rental & maintenance –Premise	17,000	17,000	16,000	50,000	k
				74500	DPC	7,500	7,500	7,500	22,500	l
				74100	Professional Services	3,000	3,000	3,000	9,000	m
				74200	Audio visual and Print Prod Cost	3,000	3,000	3,000	9,000	n
				<b>Total</b>		<b>67,000</b>	<b>67,000</b>	<b>66,000</b>	<b>200,000</b>	
<b>PROJECT TOTAL</b>						<b>1,316,105</b>	<b>1,260,260</b>	<b>1,223,635</b>	<b>3,800,000</b>	

<b>Budget note</b>	<b>Description of cost item</b>
a	50%/50% of Lead Technical Specialist (P4) proforma (Addis) for year one split between outcome 1 and PMC, and 84%/16% of the same position for the remaining 2 years split across outcomes 1 and PMC. The higher % under the PMC is due to the heavier management activities required to kickstart the project
b	Cost of International consultants to provide one-on-one technical support to LDCs, including an Investment Finance Specialist and a Gender Specialist. Support to 20 LDCS, 3 consultants per country. Approximately 5% of this budget line is attributable to gender-specific activities.
c	Local technical expertise for ongoing support to LDCs to advance their NAP process. Support to 20 LDCS, 2 consultants per country, \$10,000 per consultant for support provided. 20 x 2 x \$10,000 = \$400,000
d	Travel related to in-country consultations and training. 60 consultant flight and DSA @\$6,000 per mission = \$360,000. Additional \$18,365 included to cover extra travel expenses.
e	Audio/visual, training materials for one-on-one technical support.
f	Workshops, meetings and conferences associated with the one-on-one technical support provided. 20 LDCs @ \$15,000 per country = \$300,000
h	International consultants to: 3.2.1 Synthesise lessons learned and experience gained through the NAP-GSP (\$39,000) 3.2.2 Facilitate face-to-face and virtual knowledge exchange through regional platforms (\$39,000) 3.2.3 Develop web-based training materials (US\$50,000) 3.2.4 Host webinars (US\$50,000) 3.2.5 Identify entry points and formulate business cases for private sector involvement in NAP processes
i	Local consultant to maintain the programmes online platforms (knowledge networks, website, webinars, online training materials) @ \$15,000/year
j	Communication materials, printing manuals, video equipment rental, editing, etc. to share lessons learned/best practices and NAPs case studies.

k	Rent and general operating expense (GOE), estimated at \$17,000/year. Budgeted for up to 2 staff.
l	<p>Direct Project Costs (DPC) is estimated based on operational and administrative support activities to be carried out by UNDP. Estimated breakdown is as follows:</p> <ul style="list-style-type: none"> <li>• Recruitment of project personnel</li> <li>- Recruitment of project staff (P4)- \$788 per staff (recruitment package, admin management &amp; payroll) for 3 years</li> <li>- Staff recurring cost for 3 years <math>544 * 3 = \\$1,633</math></li> <li>- Recruitment of IC - \$301 per IC contract in 3 years <math>301 * 27 = \\$8,127</math> (recruitment and initial costs, approx. 9 consultants/year)</li> <li>- IC recurring cost for 3 years <math>43 * \\$189 = \\$8,127</math> (based on 7 payments / year / consultant)</li> <li>• \$41/travel payment for project staff/consultant – 63 times (1 travel / year / consultant, 12 travel / year / staff) = \$2,583</li> </ul> <p>Total DPC = \$21,258 + misc \$1,242 = \$22,500</p>
m	Annual audit cost \$3,000/year = \$9,000
n	Printing and related communication costs for project team.

## VI. FINANCIAL PLANNING AND MANAGEMENT

119. The total cost of the project is USD 19,900,000. This is financed through a LDCF grant of USD 6,200,000 and USD 13,700,000 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

### Parallel co-financing:

Co-financing source	Co-financing type	Co-financing amount (USD)	Planned Outcomes
BMUB – Supporting developing countries to integrate the agricultural sectors into National Adaptation Plans	Grant	4,000,000	Outcome 1
Australian Government – Pacific Risk Resilience Programme	Grant	4,000,000	Outcome 1
Danish Government – Adaptation Mitigation Readiness Project	Grant	800,000	Outcome 2
UNDP – Strategic Initiative to Address Climate Change in Least Developed Countries	Grant	4,900,000	Outcome 3

120. The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF.

Budget Revision and Tolerance: As per the UNDP requirements outlined in the UNDP POPP, the project board can agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the project board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) introduction of new budget items/or components that exceed 5% of original GEF allocation.

Project Closure: Project closure will be conducted as per the UNDP requirements outlined in the UNDP POPP (see (<https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>) On an exception basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed including the final clearance of the Terminal Evaluation Report that must be available in English, and after the final project board meeting. The Implementing Partner through a Project Board decision, will notify the UNDP Country Office when the operational closure has been completed. The relevant parties will then agree on the disposal of any equipment that is still the property of UNDP.

Financial completion: The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the implementing partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the implementing partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure

documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the Country Office.

Refund to Donor: should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

## VII. MANAGEMENT ARRANGEMENTS

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

122. Outcome 1 and Outcome 3/Output 3.2 will be implemented following UNDP's Direct Implementation Modality (DIM)<sup>31</sup>. UNDP-Bangkok Regional Hub (BRH) has agreed to function as a responsible party. UNDP-BRH will be responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, organization of regional and national workshops. Related costs of UNDP-BRH services will be borne from the Project Management Cost budget.

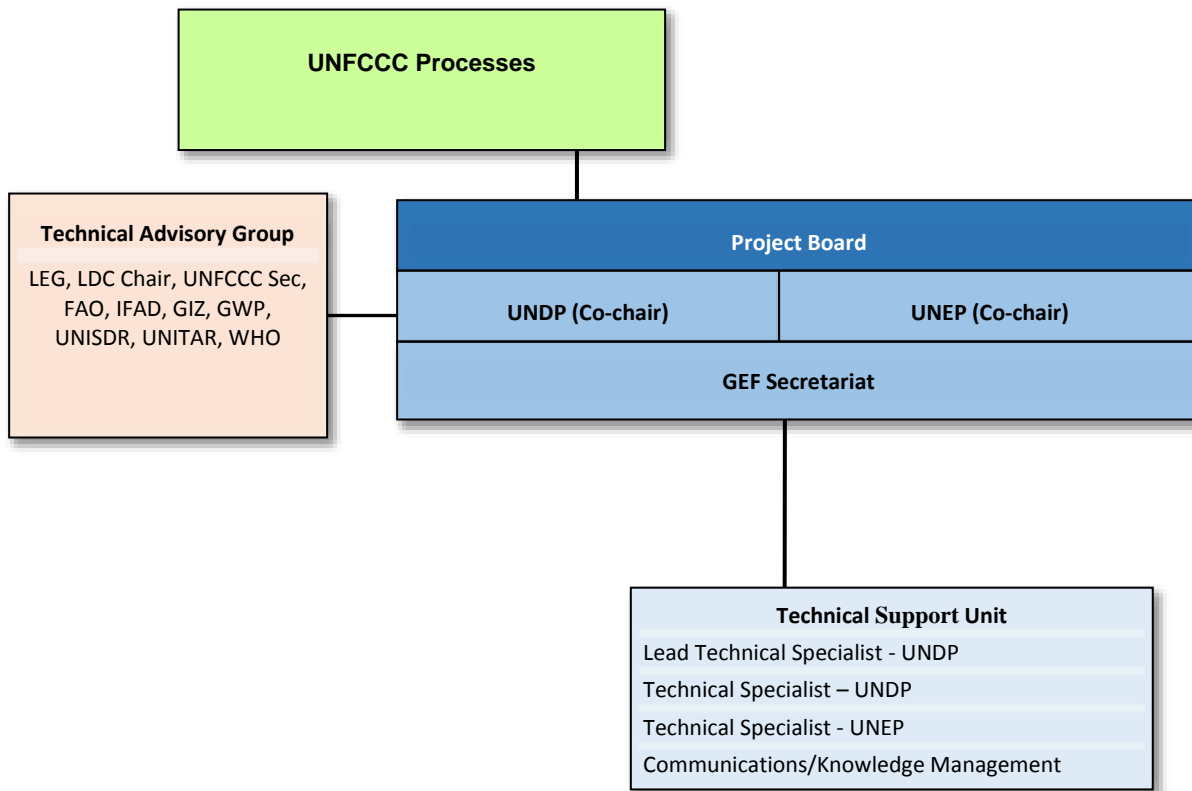
123. UNDP-GEF will delegate spending authority to the BRH, the budget will be set up by UNDP-GEF under B0441 BRH B-dept. UNDP-GEF will approve the budget, and UNDP-BRH can spend within the approved spending limits established by UNDP-GEF. The UNDP-GEF Regional Technical Specialist will provide oversight, while a Lead Technical Specialist will be recruited using LDCF funds to assume responsibility for the day-to-day management of the project. The Lead Technical Specialist will be supported by an Investment Finance Specialist who will provide technical and policy advice to countries related to addressing barriers to access investment financing (domestic and external) for the appraised adaptation options as part of the NAP process. This Investment Finance Specialist position is created in direct response to requests from LDCs during the Ongoing NAP GSP for support to access funds for important adaptation priorities related to the NAP process.

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

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

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<sup>31</sup> For more information on the UNDP DIM modality, please visit: <https://info.undp.org/global/popp/frm/pages/direct-implementation-dim-modality.aspx>



**Figure 3.** Project Operational Structure

126. **Project Board:** A Project Board (PB) will be the strategic decision-making body of the project. It will provide overall guidance and direction to the project and be responsible for making decisions on a consensus basis, when high-level strategic guidance is required, including the approval of major revisions in project strategy or implementation approach. The PB will meet once per year, within the margins of UNFCCC events and/or LEG events and/or virtually, and consist of:

- one representative from UNDP (Co-chair);
- one representative from UNEP (Co-chair); and
- one representative from the GEF-LDCF Secretariat.

127. Other relevant stakeholders may participate in meetings as observers as needed or – upon approval by the PB – as Board members. The PB will review progress towards project implementation at regular intervals (at least annually), or as required at the request of the Lead Technical Specialist. The PB will also approve the annual work plan prepared by the Lead Technical Specialist with the assistance of the Technical Support Unit. The annual work plan will be the instrument of authorisation through which the Lead Technical Specialist and his/her team will deliver results. Additional functions of the PB are to: i) ensure that LDCF resources are committed exclusively to activities that relate to the achievement of approved project objective and outcomes and in line with approved annual work plans; ii) arbitrate significant conflicts within the project; and iii) negotiate a solution to major problems that may arise between the project and external bodies. To ensure accountability for project results, PB decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. PB members, and associated travel, are not funded through this project. As far as possible, PB meetings will be coordinated with the regularly planned Adaptation Committee meetings and other events where PB members are present.

128. **Technical Advisory Group:** The Technical Advisory Group provides technical guidance to project activities, including review of the annual work plan with recommendations, for endorsement by the PB. The Technical Advisory Group will meet annually and consist of representatives from the UNFCCC Secretariat, LEG,

LDC Chair and development partners engaged in activities to support the NAP process in countries (e.g. UNITAR, GIZ, FAO, IFAD, WHO, etc).

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

130. **Technical Support Unit (TSU):** UNDP and UNEP will provide co-located office space for the project staff, the costs of which will be borne by the project. These staff will include:

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

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

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



## VIII. MONITORING AND EVALUATION (M&E) PLAN

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

### Project Start

134. A Project Inception Workshop will be held within the first two months of the project's implementation with those with assigned roles in the project's organisational structure, UNDP country office and where appropriate/feasible, regional technical policy and program advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

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

- Assist all partners to fully understand and take ownership of the project by:
  - detailing the roles, support services and complementary responsibilities of UNDP-GEF staff vis-à-vis the project team;
  - discussing the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms; and
  - discussing again, as needed the Terms of Reference for project staff.
- Based on the project results framework and the LDCF/LDCF AMAT set out in the Project Results Framework of this project document, finalise the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements including roles and responsibilities for different M&E functions. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- Discuss financial reporting procedures and obligations, including UNDP budget reviews and mandatory budget revision/rephrasing, and arrangements of necessary audits.
- Plan and schedule PB meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first PB meeting should be held within the first 12 months following the inception workshop.

136. 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 meeting.

### Quarterly

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP-GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).

- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs will be used to monitor issues, lessons learned. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

### **Annually**

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

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

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

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

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

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

of draft evaluation reports in all steps of the process. The management response and the evaluation will be uploaded to UNEP and UNDP corporate systems.

## End of Project

140. An independent Terminal Evaluation (TE) will take place three months prior to the final PB meeting, and will be undertaken in accordance with UNDP, UNEP and GEF guidance. The evaluation will seek to provide evidence of results to meet accountability requirements, and to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNDP, UNEP and GEF. The terminal evaluation will focus on the delivery of the project’s results as initially planned (and as revised after the MTR or MTE, if any such revision took place). The TE will also assess project performance based on standard evaluation criteria<sup>33</sup>, and determine the actual and potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The LDCF AMAT (as set out in the Project Results Framework in Section IV and Annex D of this project document) will also be completed during the terminal evaluation cycle.

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

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

## Audit

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

**Table 2: M&E Workplan and Budget**

Type of M&E Activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Timeframe
Inception Workshop and Report	<ul style="list-style-type: none"> <li>Lead Technical Specialist</li> <li>Project team</li> </ul>	8,000 <sup>34</sup>	Within first 2 months of project start up
Measurement of Means of Verification of project Outcomes	<ul style="list-style-type: none"> <li>Lead Technical Specialist will oversee the hiring of specific support as appropriate and delegate</li> </ul>	Continuous by project team	Start, mid and end of project (during evaluation cycle) and annually when required.

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

<sup>34</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget.

	responsibilities to relevant team members.		
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>• Oversight by Lead Technical Specialist</li> <li>• Project team</li> </ul>	To be determined as part of Annual Work Plan prep.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team</li> <li>• UNDP and UNEP</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team</li> </ul>	None	Quarterly
Mid-term evaluation	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team,</li> <li>• UNDP and UNEP</li> <li>• External Consultants (mixed local/int. team)</li> </ul>	35,000 <sup>35</sup>	At the mid-point of project implementation (Year 2).
Final Evaluation	<ul style="list-style-type: none"> <li>• Lead Technical Specialist and team,</li> <li>• UNDP and UNEP</li> <li>• External Consultants (mixed local/int. team)</li> </ul>	45,000 <sup>36</sup>	At least three months before the end of project implementation
Audit	<ul style="list-style-type: none"> <li>• UNDP</li> </ul>	Indicative cost per year: US\$3,000	Yearly budget for UNDP only
<b>TOTAL Indicative Cost</b>		UNEP: \$88,000 UNDP: \$9,000	

144. **Learning and knowledge sharing:** Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

<sup>35</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

<sup>36</sup> To be organized by UNEP, costs are captured under the UNEP sections of the budget. Execution and timing of evaluations must adhere to the M&E rules, guidelines and procedures of both UNDP and UNEP.

145. **Communications and visibility requirements:** Full compliance is required with UNDP’s Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo<sup>37</sup> needs to be used alongside the GEF logo<sup>38</sup>. Full compliance is also required with the GEF’s Communication and Visibility Guidelines<sup>39</sup> (the “GEF Guidelines”).

146. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

147. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

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<sup>37</sup> The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

<sup>38</sup> The GEF logo can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo).

<sup>39</sup> The GEF Guidelines can be accessed at:

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf).

## IX. LEGAL CONTEXT

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

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

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

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

## **X. ANNEXES**

Please see separate files.