

Module 4: Accessing financial resources

4.1. Introduction to the GEF and the LDCF

LEG training workshops for 2012-2013

- Pacific LDCs workshop



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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to the GEF and LDCF;
- Understand the roles of the GEF and its agencies in supporting the preparation and implementation of NAPAs.

Guiding questions:

- How to access resources from the LDCF?
- What are the criteria to select an implementing agency?



The GEF in the context of the LDCF

- The Global Environment Facility (GEF) is the managing body of the SCCF and LDCF;
- GEF's operational policies, procedures and governance structure are applied to these funds, unless COP guidance and LDCF/SCCF Council decide otherwise;
- Its governing structure is composed of the **Assembly**, the **Council**, the **Secretariat**, **10 GEF Agencies**, a **Scientific and Technical Advisory Panel (STAP)**, and the Independent **Evaluation Office**;
- **GEF Secretariat** coordinates the implementation of LDCF projects and programmes, as well as the formulation of policies and operational strategies;
- **GEF Operational Focal Point (OFP)** is designated by each country, and is responsible for operational aspects of GEF activities such as, endorsing project proposals to affirm that they are consistent with national plans and priorities at the country level.

More information in: GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>.

“Good interaction between the GEF-OFP and the NAPA coordination entity has enabled efficient progress and enhanced information sharing at the national level for developing NAPA projects (BP+LL from NAPAs).”



Background to the LDCF

- a) Established in 2001, as a voluntary fund, to be managed by the GEF, and to support LDCs on:
- Preparation and implementation of NAPAs;
 - Implementation of elements of the LDC work programme other than the NAPAs;
- b) **Current status:**
- Has received pledges totalling **USD 537.99 million**, of which **USD 481.44 million** has been paid, as at August 31, 2012;
 - NAPAs indicate the need for at least **USD 2 billion** for their full implementation;
 - Each LDC can currently access up to USD 20 million based on equitable access;
 - **USD 369.62 million** has so far been allocated for preparing and implementing NAPAs. Of this, **USD 147.47 million** is already doing work on the ground;
- c) **Further information on the LDCF:**
- GEF LDCF website, <<http://www.thegef.org/gef/LDCF>>;
Latest GEF publication on “*Accessing resources under the LDCF*”;
 - UNFCCC LDCF website, <<http://unfccc.int/4723.php>>.



LDCF portfolio in the pacific, October 1, 2012

Country	PMIS ID	Title	Status	Project grant	PPG	Fees	Total grant request	Co-financing
Kiribati	4068	Increasing resilience to climate variability and hazards	Under implementation	3 000 000		300 000	3 300 000	7 800 000
Samoa	3358	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa	Under implementation	2 100 000	50 000	215 000	2 365 000	2 150 000
Samoa	4216	Integration of Climate Change Risks and Resilience into Forestry Management in Samoa (ICCRIFS)	Under implementation	2 400 000		240 000	2 640 000	2 530 000
Samoa	4585	Enhancing the resilience of tourism-reliant communities to climate change risks	MSP PIF Approved	2 000 000		200 000	2 200 000	7 100 000
Solomon Islands	4725	Solomon Islands Water Sector Adaptation Project (SIWSAP)	Council Approved	6 850 000		685 000	7 535 000	40 255 000
Tuvalu	3694	Tuvalu: Increasing Resilience of Coastal Areas and Community Settlements to Climate Change	Under implementation	3 300 000	60 000	336 000	3 696 000	4 500 000
Tuvalu	4714	Effective and responsive island-level governance to secure and diversify climate resilient marine-based coastal livelihoods and enhance climate hazard response capacity	Council Approved	4 200 000		420 000	4 620 000	19 601 596
Vanuatu	3798	Increasing Resilience to Climate Change and Natural Hazards	Pending CEO Endorsement	5 580 000	150 000	573 000	6 303 000	6 067 000
Total for 8 approved projects				29 430 000	260 000	2 969 000	32 659 000	90 003 596
Vanuatu	5049	Adaptation to Climate Change in the Coastal Zone in Vanuatu	Pending	8 030 000	250 000	828 000	9 108 000	32 431 217
Tuvalu	5037	Climate Proofing Development in the Pacific	Pending	550 000		44 000	594 000	5 500 000
Vanuatu				5 750 000		460 000	6 210 000	220 000
Total for 2 pending projects				14 330 000	250 000	1 332 000	15 912 000	38 151 217



Accessing resources under the LDCF

Requirements:

- Access open to LDCs;
- Country must have completed and submitted its NAPA to UNFCCC Secretariat for web publication <<http://unfccc.int/4585.php>>;
- Countries can access the fund with the assistance of one of the 10 **GEF agencies**;
- Projects must be based on the NAPA priorities;
- Submitted NAPA projects for implementation follow streamlined **LDCF project cycle**.

SUMMARY OF THE PROCESS AND KEY CONCEPTS

- The LDCF Project Proponent develops a concept for a project and requests assistance from an Implementing Agency of the GEF (see Fig. 1.)
- The LDCF Project Proponent secures the endorsement of the national GEF Operational Focal Point.
- Projects over USD 2 million are referred to as Full-sized Projects (FSP); those of USD2 million or below are referred to as Medium-sized Projects (MSP.) MSPs follow a further streamlined project cycle, compared to FSPs.
- For FSPs, submission to the GEF under the LDCF starts with a Project Identification Form (PIF), followed by a CEO Endorsement Form. MSPs may start with the CEO Endorsement Form. Once the GEF CEO Endorses the project, the funding is released to the Implementing Agency.

Source: GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>.



GEF agencies

- GEF agencies assist countries in the development, implementation, and management of GEF projects;
- They are requested to focus their involvement in project activities within their respective **comparative advantages**;
- GEF agencies may partner with each other in cases where a project calls for the expertise and experience of more than one Agency (GEF Instrument, para 28).



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Source: GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>.



Selecting a suitable agency for implementing NAPA

a) The comparative advantage of the agency ([GEF/C.31/5](#)):

- Institutional role and core functions;
- Actual capacity, expertise and experience to implement GEF projects;
- Ability to ensure delivery and management of projects through field presence or well-established contact networks at the national or regional level; and
- Overall performance in implementing projects.

b) Past experiences:

- An agency that has existing experience in a given activity, can easily apply its expertise to similar types of project ([BP+LL Volume 1](#)).

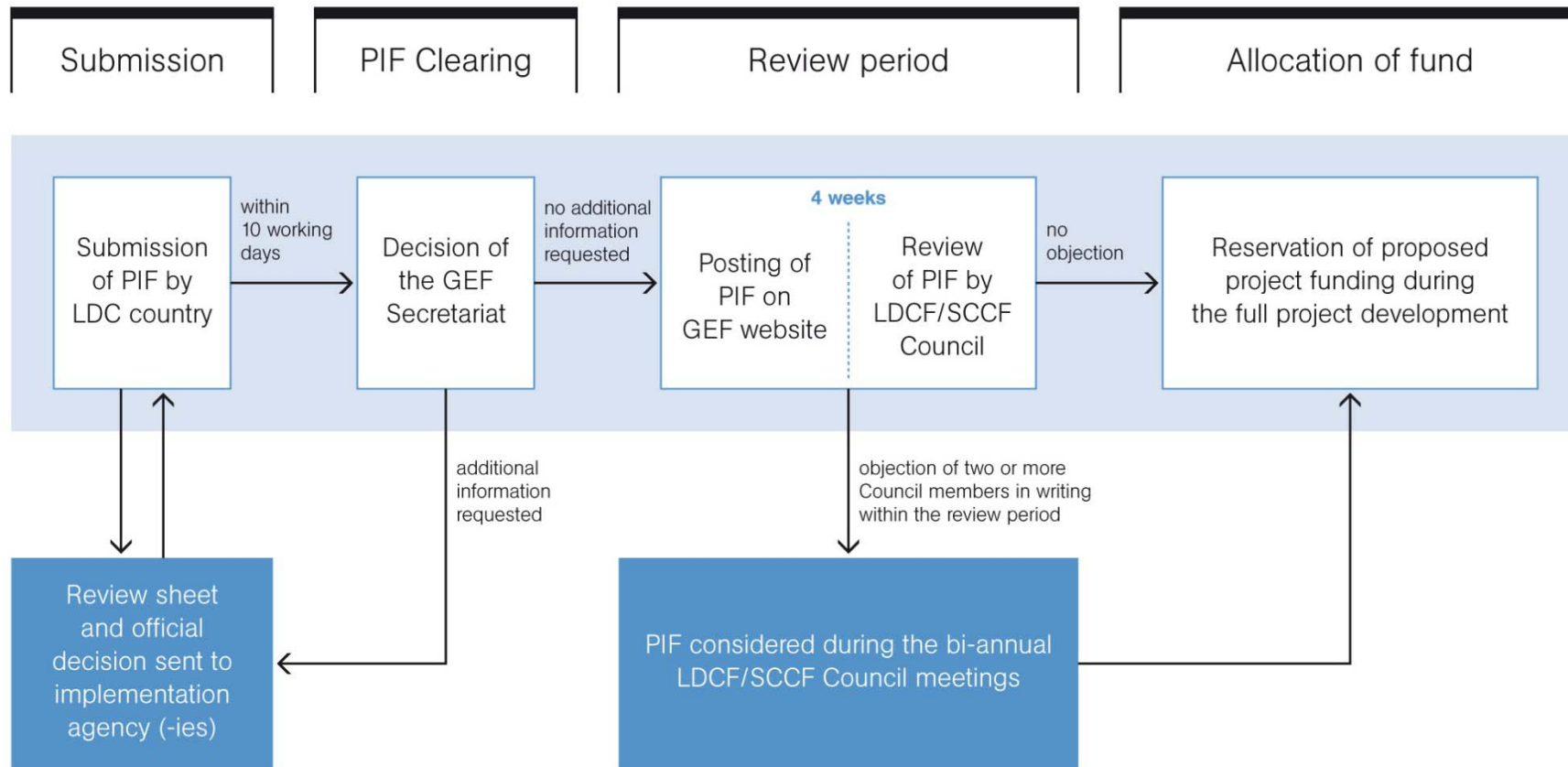
c) Working relations with the agency:

- Many countries have reported that good working relations with an agency at the country level can lead to a very positive interaction and smooth implementation of NAPA projects ([BP+LL Volume 1](#)).



Flow of procedures and processing for the PIF for LDCF projects

* Complete steps of the LDCF project cycle available on flyers



Source: UNFCCC, 2009. Step-by-step Guide for the implementation of NAPAs.



Latest developments: programmatic approach

- Funding under the LDCF has largely focused on pilot projects to demonstrate how adaptation can be addressed practically on the ground in LDCs;
- With the growing financing levels, and to shift in funding structure for adaptation under the GEF, countries can now pursue programmatic approaches in implementing their NAPAs;
- **Programmatic Approach (PA)** – a program of projects with common objectives, aiming to achieve economies of scale and sustainability, improved horizontal and vertical integration, and greater opportunities to leverage partnerships and co-financing. Delegation of project approvals to eligible Agencies, such as the MDBs
- In addition to the elements to be considered in a PIF, Program Framework Documents should provide adequate information of the following:
 - Added value of PA: does the program present opportunities to address the enabling environment, local investments and cross-cutting elements in a more comprehensive way than is currently possible through individual projects? What are the economies of scale?
 - Partnerships: does the PFD identify relevant partners? How will they contribute to the objectives of the program?
 - Knowledge management: how will best practices and lessons be shared among partners/countries/projects within the program and beyond?



Latest developments: synergies with other GEF funds

- GEF-5 projects may seek funding under several trust funds, including the LDCF and the SCCF.
- Multi-trust fund projects may allow projects to capture economies of scale, and to foster integration across sectors, across national strategies and policies, and across environmental conventions.
- While a single project may utilize resources from different trust funds, it should do so in line with the mandate and eligibility criteria of each fund and funding window.
- To date, the LDCF/SCCF Council has approved some USD 22 million in LDCF grants towards six multi-trust fund projects (in Chad, Ethiopia, Malawi, Mali, Rwanda and Togo).



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4.2. Accessing resources under the LDCF - Formulating funding proposals

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Understand the basic requirements for a funding proposal;
- Obtain insight in the issues related to baseline and co-financing.

Guiding questions:

- What are the steps in accessing funds?
- What are the key issues in a funding proposal?



Initial steps

a) Identify focus and context:

- Rationale: NAPA priority(ies), sector(s) or area(s) to be addressed;
- Approach: projects, sector-wide/programmatic;

b) Mapping to national development goals:

- Environmental, social and development goals;
- Applicable national sectorwide approaches;

c) Stakeholder involvement:

- Consistent with the GEF's Public Involvement Policy (*GEF/C.7/6*);

d) Selection of a GEF agency/agencies:

- Comparative advantage;
- Agency's experience on the area;
- Working relations;



Defining project objectives and results

a) Objective(s):

- Reduce vulnerability to the adverse impacts of climate change;
- Increase adaptive capacity to respond to the impacts of climate change;
- Promote transfer and adoption of adaptation technology;

b) Results or anticipated outcomes:¹

- Mainstream adaptation in broader development frameworks;
- Reduce vulnerability in development sectors;
- Diversify and strengthen livelihoods;
- Increase knowledge and understanding of climate change-induced risks;
- Strengthened adaptive capacity to reduce risks to climate-induced losses;
- Strengthened awareness and ownership of adaptation;
- Successful demonstration, deployment, and transfer of relevant adaptation technology;
- Enhanced enabling environment to support adaptation-related technology transfer.



Identifying baseline activities

a) Areas to look at:

- Relevant national development frameworks, plans, strategies, policies, programmes and projects;
- Existing infrastructural, institutional and human capacity;
- Data, information, awareness, etc;

- **Baseline activities could count towards co-financing:**

- Development assistance (bilateral or multilateral);
- Government budget;
- NGO and community groups contributions.

All the above can be in cash/grant, loan, soft-loan, or in-kind.



Resources (available and needed)

a) Financial resources:

- Available resources under the LDCF;
- Possible support from local resources: government, private sector, NGOs, etc;
- Possible support from bilateral, multilateral, regional and international sources;

b) Institutional capacity:

- Structures, systems, policies, regulations, committees, and roles);

c) Human capacity:

- Staff, skills, facilities;

d) Tools:

- Data, information, models, consumables, etc....



Monitoring and evaluation

- Defining a monitoring and evaluation plan throughout the project;
- The LDCF/SCCF Results-Based Management Framework has to be adopted at the project/programme design stage, and applied to measure progress throughout implementation;



References

GEF, 2010. Strategy on Adaptation to Climate Change for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF). <<http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-ADAPTION%20STRATEGIES.pdf>>



Module 4: Accessing financial resources

4.3. Accessing resources under the LDCF - PIF, PPG and CEO endorsement processes

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Understand LDCF operations and requirements of the countries to access it;
- Projects eligible to Fund and baseline finance;
- The role of Agencies in accessing resources.

Guiding questions:

- What are the consequences of the GEF results-based management framework for LDCs?
- What are GEF criteria for approval of LDCF projects?



The PIF – main elements

1. **Objective:** of the project/programme;
2. **Components:** by topic/theme or by objective/outcome;
3. **Output:** immediate results (e.g. cc policy, training programme for farmers);
4. **Outcomes:** effects of the outputs;
5. **Estimated budget and co-financing.**



The PIF - justification

- i. **Consistency:** with GEF LDCF strategies, with national strategies;
- ii. **Project overview:**
 - **Vulnerabilities and risks:** NAPA, national communication, other sources;
 - **Anthropogenic amplifiers:** e.g. land use patterns, natural resource usage;
 - **Activities needed to address the vulnerability/risks:** interventions;
 - **Baseline scenario:** existing policies, plans, programmes;
 - **Additional cost:** adaptation versus business as usual costs;
- iii. **Socio-economic benefits:** including other factors such as gender;
- iv. **Potential risks and barriers and measures to address them;**
- v. **Stakeholder involvement;**
- vi. **Coordination with other related initiatives;**
- vii. **GEF agency's comparative advantage.**



PPG phase

1. To enable the provision of **resources for the development of a full project document**:

- Mainly human and technical resources;
- Limited consultations, data and information collection.

2. **Common activities** during the full project document development include:

- Project site selection;
- Technical feasibility;
- Institutional analyses;
- Stakeholder consultations, including local communities;
- Physical baseline assessments;
- Project documentation;
- Co-financing confirmations;
- Final implementation arrangements;



Full project document

Similar to PIF but with more detailed information and justifications, and contains details on:

- Project framework;
- Sources and actual amounts of funding;
- Project justifications, links, and additional cost reasoning;
- Monitoring and evaluation plan;
- Implementation plans



GEF results-based management framework for LDCF projects

- a) Used to **measure progress** and **results** of the project;
- b) Focuses on *monitoring* and *evaluation*:
 - **Monitoring** – provides information on where a programme/project is at any given time relative to respective targets and outcomes;
 - **Evaluation** – give evidence of why targets and outcomes have or have not been achieved by determining the relevance, impact, effectiveness, efficiency and sustainability of interventions and contribution of involved partners;
- c) It uses programme/project **baseline, targets, indicators, and means of verification**;
- d) Factors measured in programmes/projects:
 - Coverage;
 - Efficacy;
 - Sustainability;
 - Replicability.



Adaptation Monitoring and Assessment Tool (AMAT)

- Flexible tool – pilot phase.
- Agencies are only required to choose at least one outcome indicator and one output indicator per each of the 3 strategic objectives targeted in the project
- Agencies can include their own indicators (for Outcome 1.2; Output 1.2.1)
- Once core indicators are selected at CEO Endorsement, projects will fill in the baseline and expected target level for each indicator

Mid-term Results		Target at CEO Endorsement		Baseline	
e areas					
Number	Type	Number	Type	Number	Type
0		0	-	0	
0		0	-	0	
0		0	-	0	
0		0	-	0	
0		0	-	0	
0		0	-	0	
Type	YES/NO	Type	YES/NO	Type	YES/NO
		-	-	-	-
		-	-	-	-
		-	-	-	-
		-	-	-	-
		-	-	-	-
Type	Score	Type	Score	Type	Score
		-	-	-	-
		-	-	-	-
		-	-	-	-
		-	-	-	-
		-	-	-	-



GEF results-based management framework for LDCF projects

Example results framework from Kiribati LDCF project on “Increasing resilience to climate variability and hazards”

Annex 1: Results Framework and Monitoring

KIRIBATI: Kiribati Adaptation Program – Phase III (KAP III) Results Framework

Project Development Objective (PDO): The project will improve the resilience of Kiribati to the impacts of climate change on freshwater supply and coastal infrastructure.												
PDO Level Results Indicators*	Core	Unit of Measure	Baseline	Cumulative Target Values**					Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description (indicator definition etc.)
				YR 1	YR 2	YR3	YR 4	YR5				
Indicator One: Volume of potable water per day provided, water saved through reduced leakage and wastage.	<input type="checkbox"/>	Kilo-liters per day	< 5	40	80	160	190	190	Semi-annual project report	Supervision Mission/ Progress Report	MPWU/PUB	Volume saved in treated areas in PUB South Tarawa reticulated water supply.
Indicator Two: Volume of potable water per day provided from new groundwater sources, and new rainwater harvesting systems.	<input type="checkbox"/>	Kilo-liters per day	25	50	75	78	80	82	Semi-annual project report	Supervision Mission/ Progress Report	MPWU/PUB	Volume provided from all new sources (rainwater harvested, and gallery extraction)
Indicator Three: Length of coastline with vulnerable public and private assets made resilient to the effects of sea-level rise and wave action and extreme and variable weather events to a minimum 25 year design life.	<input type="checkbox"/>	km	0.5	0.8	1.0	1.3	1.6	1.6	Semi-annual project report	Supervision Mission/ Progress Report	MPWU	Cumulative gross length of treatments – covers all forms of works from mangrove planting, nourishment and seawall options.
INTERMEDIATE RESULTS												



GEF criteria for approval of LDCF projects

Consistent with the PIF structure, the review looks at the following criteria:

- i. **Eligibility** of the project for funding under the LDCF;
- ii. Agency's **comparative advantage**;
- iii. **Resource availability** under the LDCF;
- iv. Project **consistency** with the LDCF strategies, national strategies, sustainability;
- v. **Project design**: baseline, cost-effectiveness, additional cost reasoning, sound framework, methodology and assumptions, socio-economic benefits, stakeholder participation, potential risks, synergy, implementation arrangements;
- vi. **Project financing**: budget justification, co-financing;
- vii. Project **monitoring and evaluation**: tracking tools, M&E plan;
- viii. **Agency responses** to comments.



References

1. GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>;
2. GEF, 2008. Results-based management framework for LDCF and SCCF. GEF/LDCF.SCCF.5/3;
3. GEFSEC Review Sheet for FSP_MSP November 2011. Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEFSEC%20Review%20Sheet%20for%20FSP_MSP%20November%202011.doc>;
4. Adaptation Monitoring and Assessment Tool. Available at <http://www.thegef.org/gef/tracking_tool_LDCF_SCCF>;



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4.4. Adaptation cost and co-financing

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Importance of knowing costs related to adaptation;
- Roll and responsibilities of the LDCF, Agencies and the country in finance structure.

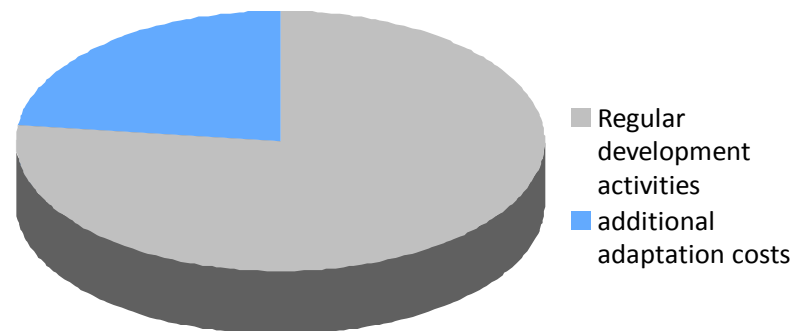
Guiding questions:

- What is co-financing and what are potential sources of co-financing?
- Why is the co-financing important in accessing resources of the LDCF?



Adaptation cost in the context of the LDCF

- Adaptation is closely linked to development;
- Addressing the adverse impacts of climate change imposes additional costs (costs to meet immediate adaptation needs);
- Activities that would be implemented regardless of climate change are considered part of regular development (**business as usual** or **the baseline**);
- Additional cost (**adaptation cost**) is the amount of funding necessary to implement adaptation measures that would not be necessary in absence of climate change;
- The LDCF is primarily aimed at financing the full cost of adaptation (**adaptation cost**) for NAPA projects, i.e. urgent and immediate needs aimed to address effects of climate change;



Co-financing under the LDCF - the concept

- Serves to **demonstrate** that the proposed adaptation activities are **securely anchored** in existing (previously financed) development activities;
- There is **no fundraising required** for co-financing in the traditional sense (i.e. finding new financial resources which would be applied directly to the project);
- The co-financing **relies on existing financing for development projects** which provides de facto co-financing on the ground;
- To materialize the co-financing procedure the LDCF requires a declared commitment from relevant co-financiers of the existing baseline activities on which the proposed adaptation project will build;
- The **co-financier(s) declare** that they will allocate a certain part of their existing resources toward the project objective.



Mobilizing co-financing for NAPA projects

Sources include:

- Main national development plans, programmes and activities;
- National policies on key sectors;
- Poverty reduction policies;
- Economic growth strategies and national investment budgets;
- Governance policies (i.e. decentralization);
- Scientific and technical investments (data infrastructure);
- Disaster preparedness plans;
- Development partner strategies, plans and projects.



Example of co-financing

Country: Samoa

Project title: Enhancing the resilience of tourism-reliant communities to climate change risk

C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Bilateral Agency	AusAid	Grant	700,000
National Government	Government of Samoa	In-kind	200,000
Local Government	Targeted communities	In-kind	100,000
GEF Agency	UNDP	Grant	3,000,000
Others	Victoria University (Australia)	In-kind	100,000
Bilateral	NZAID	Grant	3,000,000
Total Co-financing			7,100,000

D. GEF RESOURCES REQUESTED BY AGENCY, FOCAL AREAS AND COUNTRY

GEF AGENCY	TYPE OF TRUST FUND	FOCAL AREA	Country name/Global	Project amount (a)	Agency Fee (b)	Total c=a+b
UNDP	LDCF	Climate Change	Samoa	2,000,000	200,000	2,200,000
Total GEF Resources				2,000,000	200,000	2,200,000



References

1. GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>;
2. UNFCCC, 2009. Step-by-Step guide for the implementation of national adaptation programmes of action;



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4.5. Latest developments on the GEF-LDCF procedures

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to latest developments on GEF-LDCF procedures.

Guiding questions:

- How to receive information on this latest developments?



Programmatic approach for NAPAs

- Funding under the LDCF has largely focused on pilot projects to demonstrate how adaptation can be addressed practically on the ground in LDCs;
- With the growing financing levels, and to shift in funding structure for adaptation under the GEF, countries can now pursue programmatic approaches in implementing their NAPAs;
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- Multi-trust fund projects may allow projects to capture economies of scale, and to foster integration across sectors, across national strategies and policies, and across environmental conventions.
- While a single project may utilize resources from different trust funds, it should do so in line with the mandate and eligibility criteria of each fund and funding window.
- To date, the LDCF/SCCF Council has approved some USD 22 million in LDCF grants towards six multi-trust fund projects (in Chad, Ethiopia, Malawi, Mali, Rwanda and Togo).



Module 4: Accessing financial resources

4.5. Latest developments on the GEF-LDCF procedures

LEG training workshops for 2012-2013
- Pacific LDCs workshop



In this module

Where are we?

Module 1: Setting the stage

Module 2: Mainstreaming adaptation into development

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Module 4: Accessing financial resources

4.1. Intro. to the GEF and the LDCF

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4.3. PIF, PPG and CEO end. processes

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Module 5: Assessment of the NAPA

Module 6: Tracking progress, M&E

Module 7: Best practices and lessons learned

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to latest developments on GEF-LDCF procedures.

Guiding questions:

- How to receive information on this latest developments?



Programmatic approach for NAPAs

- Funding under the LDCF has largely focused on pilot projects to demonstrate how adaptation can be addressed practically on the ground in LDCs;
- With the growing financing levels, and to shift in funding structure for adaptation under the GEF, countries can now pursue programmatic approaches in implementing their NAPAs;
- **Programmatic Approach (PA)** – a program of projects with common objectives, aiming to achieve economies of scale and sustainability, improved horizontal and vertical integration, and greater opportunities to leverage partnerships and co-financing. Delegation of project approvals to eligible Agencies, such as the MDBs
- In addition to the elements to be considered in a PIF, Program Framework Documents should provide adequate information of the following:
 - Added value of PA: does the program present opportunities to address the enabling environment, local investments and cross-cutting elements in a more comprehensive way than is currently possible through individual projects? What are the economies of scale?
 - Partnerships: does the PFD identify relevant partners? How will they contribute to the objectives of the program?
 - Knowledge management: how will best practices and lessons be shared among partners/countries/projects within the program and beyond?



Synergies with other GEF funds

- GEF-5 projects may seek funding under several trust funds, including the LDCF and the SCCF.
- Multi-trust fund projects may allow projects to capture economies of scale, and to foster integration across sectors, across national strategies and policies, and across environmental conventions.
- While a single project may utilize resources from different trust funds, it should do so in line with the mandate and eligibility criteria of each fund and funding window.
- To date, the LDCF/SCCF Council has approved some USD 22 million in LDCF grants towards six multi-trust fund projects (in Chad, Ethiopia, Malawi, Mali, Rwanda and Togo).



New ceiling for implementing NAPA projects

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References

1. GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>;
2. GEF, 20XX. Strategy on adaptation to climate change for the LDCF and the SCCF;



Module 4: Accessing financial resources

4.6. Accessing resources under the Adaptation Fund

LEG training workshops for 2012-2013 - Pacific LDCs workshop



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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Understanding the Adaptation Fund and its operational modalities;
- Understanding Eligibility criteria for projects and programmes under the AF
- Understanding accreditation procedures of implementing entities

Guiding questions:

- How best can Adaptation Fund be accessed for Adaptation Projects, including NAPAs?



About the Adaptation Fund

a) **Established** in 2001:

- To finance concrete adaptation projects and programmes in developing countries that are parties to the Kyoto Protocol and are particularly vulnerable to the adverse effects of climate change;

b) **Sources of funds:**

- Levy from CDM project activities (2% of CERs issued for a CDM project activity);
- Contributions from governments, the private sector, and individuals;

c) **Governance and Administration:**

- Supervised and managed by the Adaptation Fund Board (AFB), comprising 16 members and 16 alternates representing Parties to the Kyoto Protocol;
- Global Environment Facility (GEF) provides secretariat services to the AFB;
- World Bank serves as trustee of the Adaptation Fund;

d) **Further information:**

- <<http://www.adaptation-fund.org/>>, <<http://unfccc.int/3659.php>>.



Eligibility criteria for projects and programmes under the AF

- i. Consistency with national sustainable development strategies, including, where appropriate, national development plans, poverty reduction strategies, national communications and national adaptation programmes of action and other relevant instruments, where they exist;
- ii. Economic, social and environmental benefits from the projects;
- iii. Meeting national technical standards, where applicable;
- iv. Cost-effectiveness of projects and programmes;
- v. Arrangements for management, including for financial and risk management;
- vi. Arrangements for monitoring and evaluation and impact assessment;
- vii. Avoiding duplication with other funding sources for adaptation for the same project activity;
- viii. Moving towards a programmatic approach, where appropriate.



Operational modalities

Country endorsement:

- Every proposal for funding must be endorsed by the requesting government;
- Each Party shall designate and communicate to the Secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities;

Financing windows:

- Small-size projects and programmes (up to USD 1 million);
- Regular projects and programmes (over USD 1million);

Eligibility countries:

- Developing country Parties to the Kyoto Protocol that are particularly vulnerable to the adverse effects of climate change including:
 - o Low-lying and other small island countries;
 - o Countries with low-lying coastal, arid and semi-arid areas or areas liable to floods, drought and desertification; and
 - o Developing countries with fragile mountainous ecosystems.
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Accreditation of implementing entities

Categories:

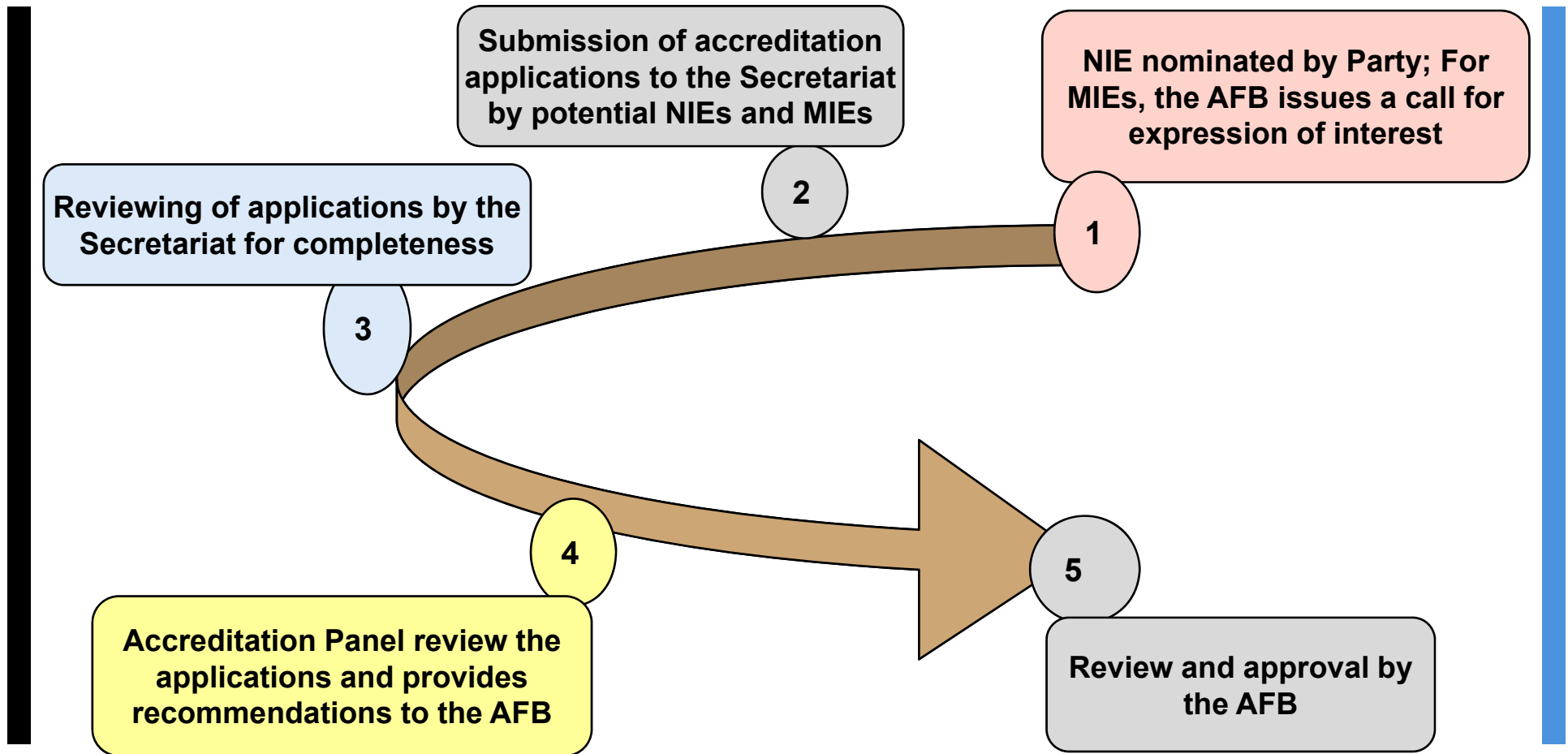
- National implementing entities (NIEs);
- Multilateral implementing entities (MIEs);

Fiduciary Standards:

- Financial integrity and management;
- Institutional capacity;
- Transparency and self-investigative powers;



Accreditation process



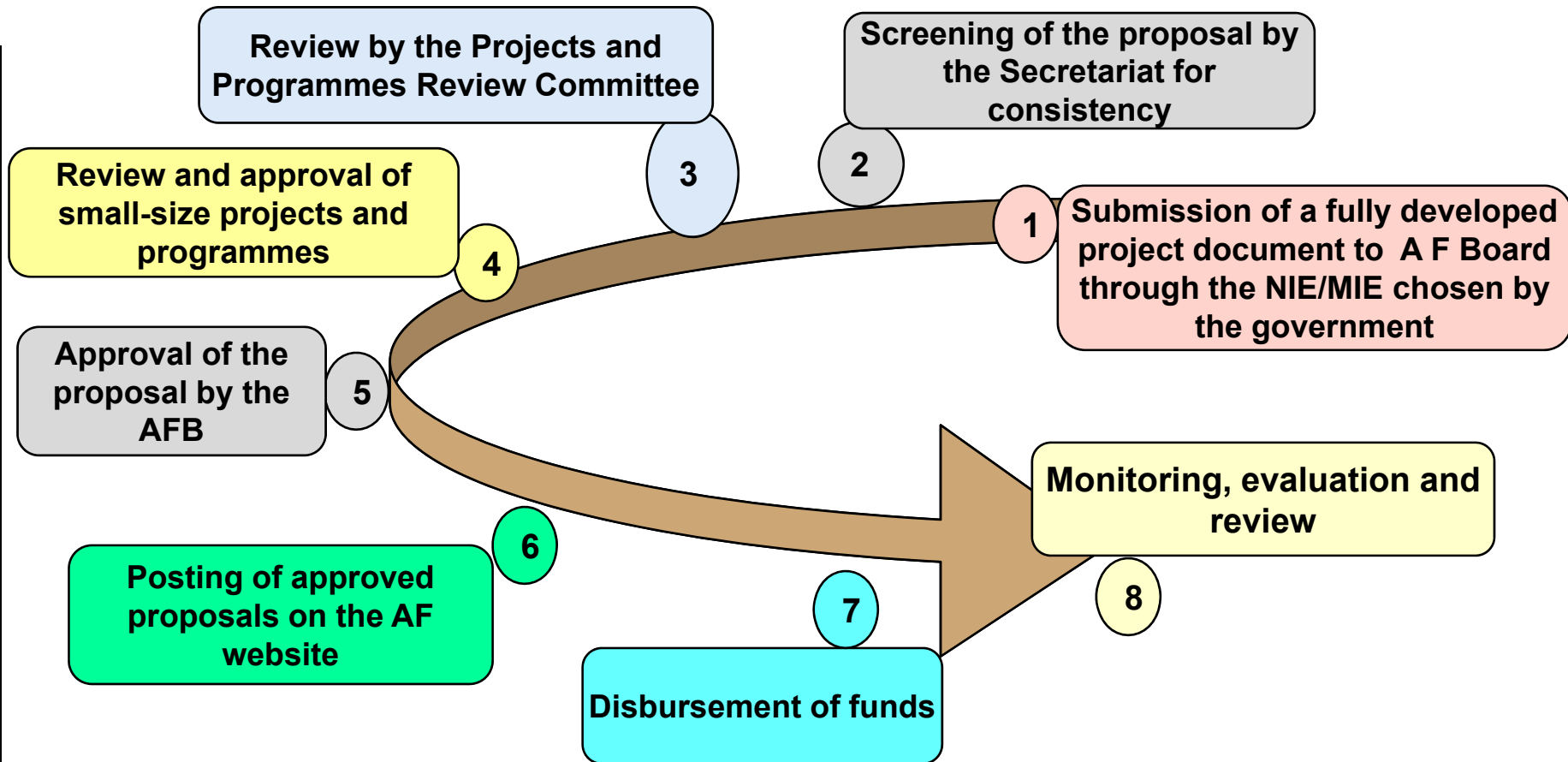
Capacity development needs for direct access

GIZ's experience:¹

- Identifying the most appropriate institution;
- Delivering a convincing application;
- Meeting the fiduciary standards and providing evidence;
- Supporting successful project implementation.



Adaptation Fund project cycle



Small-size projects and programmes follow a one-step process. Regular projects and programmes may follow a two-step process, the first of which is the submission, review and approval on an initial project concept.



Example projects and programmes

Country	Title	Implementing Entity	Approved Amount in USD
Cook Islands	Strengthening the Resilience of our Islands and our Communities to Climate Change	UNDP	5,381,600
Ecuador	Enhancing resilience of communities to the adverse effects of climate change on food security, in Pichincha Province and the Jubones River basin - Project Document	WFP	7,449,468
Eritrea	Climate Change Adaptation Programme In Water and Agriculture In Anseba Region, Eritrea	UNDP	6,520,850
Georgia	Developing Climate Resilient Flood and Flash Flood Management Practices to Protect Vulnerable Communities of Georgia	UNDP	5,316,500
Honduras	Addressing Climate Change Risks on Water Resources in Honduras: Increased Systemic Resilience and Reduced Vulnerability of the Urban Poor	UNDP	5,620,300
Madagascar	Madagascar: Promoting Climate Resilience in the Rice Sector	UNEP	5,104,925
Maldives	Increasing climate resilience through an Integrated Water Resource Management Programme in HA. Ihavandhoo, ADh. Mahibadhoo and GDh. Gadhdhoo Islandr	UNDP	8,989,225
Mauritius	Climate Change Adaptation Programme in the Coastal Zone of Mauritius	UNDP	9,119,240
Mongolia	Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia	UNDP	5,500,000
Nicaragua	Reduction of Risks and Vulnerability Based on Flooding and Droughts in the Estero Real River Watershed	UNDP	5,500,950
Pakistan	Reducing Risks and Vulnerabilities from Glacier Lake Outburst Floods in Northern Pakistan	UNDP	3,906,000
Papua New Guinea	Enhancing adaptive capacity of communities to climate change-related floods in the North Coast and Islands Region of Papua New Guinea	UNDP	6,530,373
Samoa	Enhancing Resilience of Samoa's Coastal Communities to Climate Change	UNDP	8,732,351
Senegal	Adaptation to Coastal Erosion in Vulnerable Areas	CSE	8,619,000
Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	UNDP	5,533,500
Tanzania	Implementation Of Concrete Adaptation Measures To Reduce Vulnerability Of Livelihood and Economy Of Coastal Communities In Tanzania	UNEP	5,008,564
Turkmenistan	Addressing climate change risks to farming systems in Turkmenistan at national and community level	UNDP	2,929,500
Uruguay	Uruguay: Helping Small Farmers Adapt to Climate Change	ANII	9,967,678
		TOTAL	115,730,024



References

1. GIZ, 2011. Capacity development for direct access to climate finance - experience gained through GIZ's support work for national institutions. *GIZ internal discussion paper*.
2. .

