

Module 3: Accessing financial resources for the implementation of NAPA

3.1. Introduction to the GEF and the LDCF

LEG training workshops for 2012-2013
- Francophone LDCs workshop



In this module

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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 for implementing NAPA?
- 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 to:
- Prepare and implement NAPAs;
 - Implement elements of the LDC work programme other than the NAPAs;
 - Enable activities for the preparation of the NAP process (*new*)
- b) **Current status:**
- Has received pledges totalling **USD 605.85 million**, of which **USD 585.52 million** has been paid, as at January 31, 2013;
 - 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 370 million** has so far been allocated for preparing and implementing NAPAs. Of this, **USD 114 million** has been transferred to the agencies for implementation;
- 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>>.
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LDCF portfolio in the Francophone LDCs, March 18, 2013

Country	GEF ID	Project type	Project name	Status	Grant Amount	Preparation	Agency fees	Total Grant	Co-financing
Benin	3704	FSP	Integrated Adaptation Programme to Combat the Effects of Climate Change on Agricultural Production and Food Security	Under Implementation	3,410,000	80,000	349,000	3,839,000	7,879,900
Benin	5002	FSP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Benin	Council Approved	4,000,000	100,000	410,000	4,510,000	18,087,302
Burkina Faso	3684	FSP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	Under Implementation	2,900,000	100,000	300,000	3,300,000	20,094,595
Burkina Faso	5003	FSP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Burkina Faso	Council Approved	4,000,000	100,000	410,000	4,510,000	24,305,000
Burkina Faso	4971	FSP	Reducing vulnerability of natural resource dependent livelihoods in two landscapes at risk of the effects of climate change in Burkina Faso: Boucles du Mouhoun Forest Corridor and Mare d'Oursi Wetlands Basin	Council Approved	7,000,000		700,000	7,700,000	21,407,000
Burkina Faso	5014	FSP	Integrating climate resilience into agricultural and pastoral production for food security in vulnerable rural areas through the Farmers Field School approach.	Council Approved	3,810,000		381,000	4,191,000	19,470,000
Burundi	3701	FSP	Enhancing Climate Risk Management and Adaptation in Burundi (ECRAMB)	Council Approved	3,080,000	125,610	320,561	3,526,171	15,660,000
Burundi	4990	FSP	Community Disaster Risk Management in Burundi	Council Approved	8,715,000	70,000	871,500	9,656,500	31,300,000
Central African Republic	4318	FSP	Integrated Adaptation Programme to Combat the Effects of Climate Change on Agricultural Production and Food Security in CAR	CEO Endorsed	2,780,000	70,000	285,000	3,135,000	5,560,000
Chad	4908	FSP	GGW – Agriculture production support project (with Sustainable Land and Water Management)	CEO Endorsed	4,629,629		370,371	5,000,000	47,805,000
Comoros	3857	FSP	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change	Under Implementation	3,740,000	100,000	384,000	4,224,000	9,316,318
Comoros	4974	FSP	Enhancing adaptive capacity and resilience to climate change in the agriculture sector in Comoros	Council Approved	8,990,909	100,000	909,091	10,000,000	35,000,000
Congo DR	3718	FSP	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security	Under Implementation	3,000,000	100,000	310,000	3,410,000	4,050,000
Congo DR	5226	FSP	Building the Resilience and Ability to Adapt of Women and Children to Changing Climate in Democratic Republic of Congo	PIF Approved	4,725,000	100000	448,875	5,273,875	15,500,000
Djibouti	3408	FSP	Implementing NAPA Priority Interventions to Build Resilience in the most Vulnerable Coastal Zones in Djibouti	Under Implementation	2,070,000	75,000	214,500	2,359,500	2,405,000
Djibouti	5021	FSP	Implementing adaptation technologies in fragile ecosystems of Djibouti's Central Plains	Council Approved	7,360,000	78,500	743,850	8,182,350	21,650,000

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Guinea	3703	FSP	Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea's Vulnerable Coastal Zones	Under Implementation	2,970,000	100,000 307,000	3,377,000	162,885,000
Guinea	4692	FSP	Strengthening farmers communities livelihoods resilience against climate changes in the Guinean Prefectures of Gaoual, Koundara and Mali	Council Approved	3,716,364	100,000 373,636	4,190,000	50,630,000
Haiti	3733	FSP	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti	Under Implementation	3,500,000	100,000 360,000	3,960,000	9,780,000
Haiti	4447	FSP	Strengthening climate resilience and reducing disaster risk in agriculture to improve food security in Haiti post earthquake	Under Implementation	2,727,000	272,700	2,999,700	9,329,724
Madagascar	4568	FSP	Adapting Coastal Zone Management to Climate Change in Madagascar Considering Ecosystem and Livelihood Improvement	Council Approved	5,337,500	129,650 546,715	6,013,865	11,965,000
Madagascar	5233	FSP	Enabling Climate Resilience in the Agriculture Sector in the Southwest Region of Madag_ascar Indicative GEF	PIF Approved	6,272,000	595,840	6,867,840	33,000,000
Mali	3776	FSP	Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali	Under Implementation	2,340,000	100,000 244,000	2,684,000	8,477,300
Mali	3979	FSP	Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas	Under Implementation	2,106,818	75,000 218,182	2,400,000	4,500,000
Mali	4822	FSP	Strengthening Resilience to Climate Change through Integrated Agricultural and Pastoral Management in the Sahelian zone in the Framework of the Sustainable Land Management Approach	Council Approved	2,172,727	217,273	2,390,000	9,670,000
Mali	5192	FSP	Strengthening the Resilience of Women Producer Groups and Vulnerable communities in Mali	PIF Approved	5,460,000	546,000	6,006,000	16,500,000
Mauritania	3893	FSP	Support to the Adaptation of Vulnerable Agricultural Production Systems	CEO Endorsed	3,500,000	100,000 360,000	3,960,000	10,473,000
Mauritania	5190	FSP	Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Ressources in Southern Mauritania	PIF Approved	6,350,000	635,000	6,985,000	14,580,000
Niger	3916	FSP	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	Under Implementation	3,500,000	360,000	3,860,000	10,950,000
Niger	4701	FSP	Scaling up Community-Based Adaptation (CBA) in Niger	Council Approved	3,750,000	50,000 380,000	4,180,000	13,250,000
Niger	4702	FSP	Integrating climate resilience into agricultural and pastoral production for food security in vulnerable rural areas through the Farmers Field School approach	Council Approved	3,800,000	380,000	4,180,000	15,200,000
Senegal	4234	FSP	Climate Change adaptation project in the areas of watershed management and water retention	CEO Endorsed	5,000,000	120,000 512,000	5,632,000	10,175,000
Togo	4570	FSP	Adapting Agriculture Production in Togo (ADAPT)	Council Approved	5,354,546	100,000 545,454	6,000,000	13,000,000

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](#)).

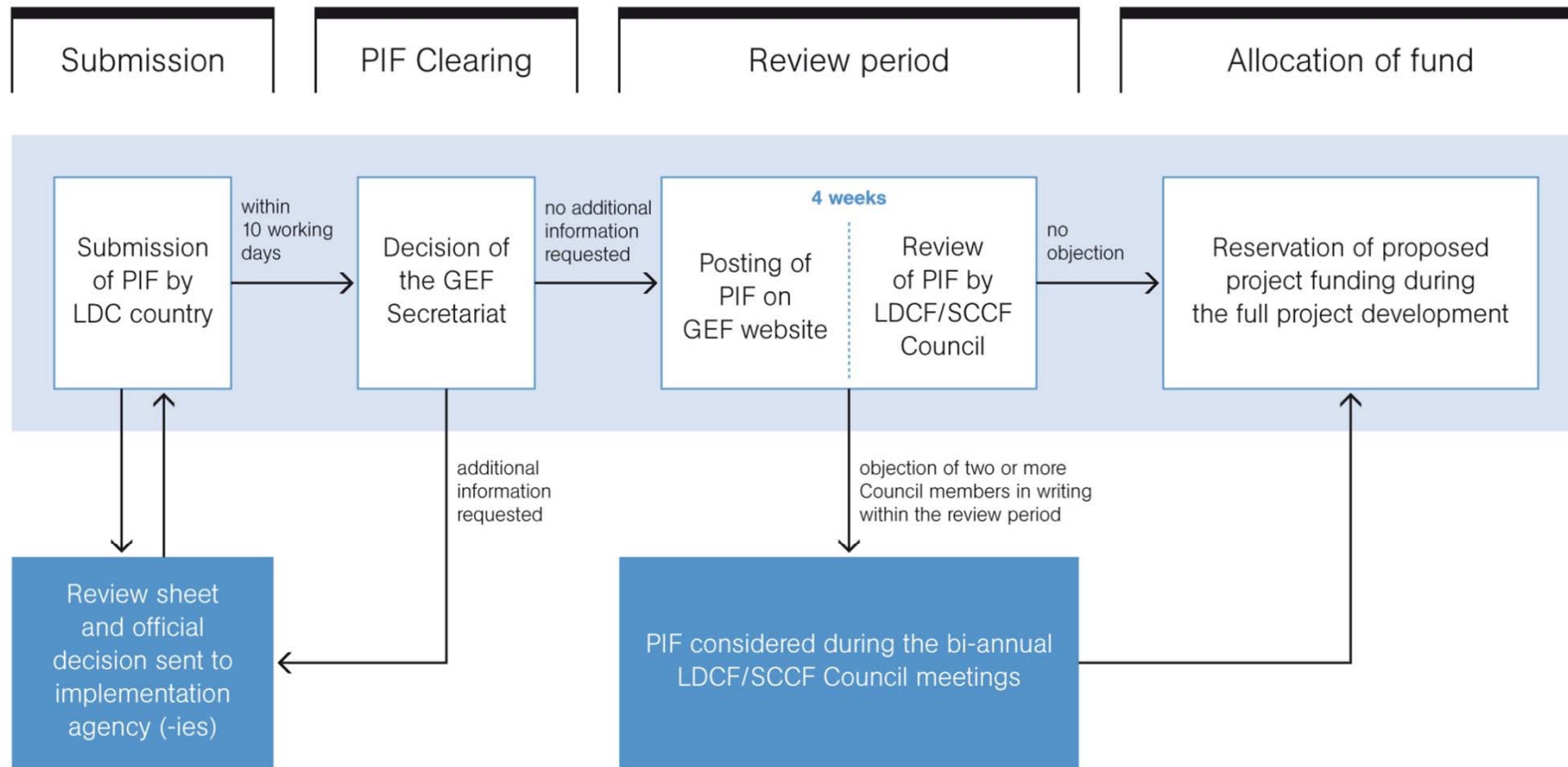
c) Working relations with the agency:

- 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



Latest developments: programmatic approach

- 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: GEF's LDCF/SCCF Financing and Programming Strategy 2014-2018

- The GEF Secretariat is currently in the process of developing its next Strategy for 2014-2018
- It will draw upon the previous experience on NAPA implementation, focusing on core areas such as: Agriculture and Food Security, Water Resources Management, Coastal Zone Management, Infrastructure (cities and transport), Disaster Risk Management, Natural Resource Management, Information systems (including hydrometeorological/climate systems), and health
- New Mechanisms for Innovation will emphasize:
 - Private Sector Engagement
 - Risk Transfer and Insurance
 - Preparing the ground for medium and long-term adaptation
- Expanding cross-focal area synergies:
 - Climate-resilient urban systems
 - Ecosystem-based adaptation
 - Small Island Developing States



Latest developments: GEF's LDCF/SCCF Financing and Programming Strategy 2014-2018 (continued)

- The strategy will be in line with the GEF's long term vision, also under development

- GEF's long-term vision will emphasize:
 - Innovation;
 - Scaling up;
 - Long-term adaptation;
 - Synergies and partnerships, and
 - Knowledge management.

- These themes will be applied across all programming in the GEF's core areas of intervention.



Latest developments: National Adaptation Plans

- UNFCCC COP at 18 session requested the GEF to provide funding from the Least Developed Countries Fund [LDCF] to meet the agreed full cost, as appropriate, of activities to enable the preparation of the national adaptation plan [NAP] process
- The COP further invited developed country Parties to further contribute to the LDCF and the SCCF to support the activities for the preparation of the national adaptation plan process
- The LDCF/SCCF Council, at its 13th session requested that “the GEF Secretariat prepare a paper for the next Council meeting on how the GEF will operationalize support to enable activities for the preparation of the [NAP] process
- GEF Secretariat will carry out consultations with Council members and other relevant stakeholders between February and April 2013.



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).



Module 3: Accessing financial resources

3.2. Accessing resources under the LDCF - Formulating funding proposals

LEG training workshops for 2012-2013
- Anglophone LDCs workshop



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3.2. **Formulating funding proposals**

3.3. PIF, PPG, and CEO endorsement processes

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to the GEF and LDCF;
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Guiding questions:

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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 sector-wide 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

- Adaptation mainstreamed in broader development frameworks;
- Vulnerability reduced in development sectors;
- Livelihoods diversified and strengthened;
- Knowledge and understanding of climate change-induced risks increased;
- Adaptive capacity to reduce risks to climate-induced losses strengthened;
- Awareness and ownership of adaptation strengthened;
- Relevant adaptation technology successfully demonstrated, deployed, and transferred;
- Enabling environment to support adaptation-related technology transfer enhanced.



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 that could count towards co-financing:**

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

All of 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). Available at <<http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-ADAPTION%20STRATEGIES.pdf>>.



Module 3: Accessing financial resources

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

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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 two outcome indicators and two output indicators per one or more strategic objective 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	
Type	YES/NO	Type	YES/NO	Type	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
Type	Score	Type	Score	Type	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	



GEF results-based management framework for LDCF projects

Example results framework from Project: Adapting Agricultural Production in Togo

This project responds to the following Strategic LDCF/SCCF Objectives:

- Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level
- Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level
- The outcome and output indicators are selected and described in the Adaptation Monitoring and Tracking Tool (AMAT)
- AMAT is supposed to be submitted with the CEO Endorsement, at mid-term stage of the project, and at the end of the project.
- AMAT shows the following values: baseline, desired target, and progress made at mid-term and end.

[brief demonstration of the AMAT]



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>;
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3.4. Adaptation cost and co-financing

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Introduction to the GEF and LDCF;

Understand the roles of the GEF and its agencies in supporting the preparation and implementation of NAPAs.

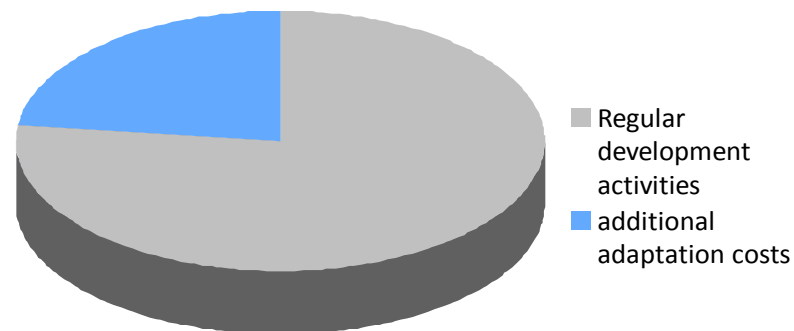
Guiding questions:

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



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.



EXEMPLE 1 COFINANCEMENT ET COÛT DE L'ADAPTATION DANS UN SCENARIO DE DEVELOPPEMENT NORMAL

Cet exemple porte sur un projet d'irrigation normal imaginaire qui pourrait déjà être soit au stade de la planification/conception soit en cours d'exécution. Il montre comment une intervention d'adaptation au changement climatique, financée par le Fonds pour les PMA, pourrait être préparée. Dans cet exemple, une plaine côtière est tributaire de l'agriculture qui, jusque-là, dépendait de l'exploitation des ressources souterraines. Une approche qui toutefois n'est pas viable à long terme, car elle entraîne l'épuisement des ressources en eau et la détérioration de leur qualité. Le gouvernement examine donc d'autres solutions pour remplacer les eaux souterraines par les eaux de surface aux fins d'irrigation, et décide de demander l'aide d'une institution de développement multilatérale. Le changement climatique et ses effets sur les ressources en eau dans l'avenir ne sont pas pris en considération. Les composantes du projet normal sont décrites dans la colonne intitulée « Scénario de base / normal » de ce tableau. *Même si l'exécution est en cours*, l'adaptation au changement climatique pourrait s'appliquer aux composantes 2 et 3. Toutefois, comme le montre cet exemple, l'intervention liée au changement climatique est en général la plus efficace *si elle est intégrée au stade le plus précoce de l'intervention en faveur du développement*.

	SCÉNARIO DE BASE / NORMAL		AVEC CHANGEMENT CLIMATIQUE
DESCRIPTION DU PROBLÈME	<p>Pour accroître la production agricole dans un delta de faible altitude, le gouvernement a soutenu la croissance agricole grâce à l'exploitation de ressources en eaux souterraines.</p> <p>Toutefois, le développement rapide s'est accompagné d'un épuisement excessif des réserves d'eau souterraine et d'une détérioration de la qualité de la ressource. Pour résoudre ce problème, le gouvernement examine différentes solutions pour remplacer les eaux souterraines par les eaux de surface aux fins d'irrigation.</p>	→	<p>Le changement climatique devrait diminuer les ressources en eau disponibles et relever le niveau de la mer dans cette zone de faible altitude, ce qui entraînera la salinisation du sol et de l'aquifère (intrusion des eaux salées). Pour résoudre ce problème, le gouvernement a demandé à l'Entité d'exécution d'intégrer les considérations liées à l'adaptation au changement climatique au projet d'irrigation.</p>
COMPOSANTES DU PROJET	<p>Composante n°1 : Programme de conception, de construction et d'exploitation d'un système d'approvisionnement en eau de surface (205 millions de dollars).</p>	→	<p>L'intégration des considérations liées au changement climatique pourrait déboucher sur une conception, une construction et une exploitation à l'épreuve du climat, qui viseraient par exemple à assurer des quantités suffisantes d'eau pour contrer les effets du changement climatique, à planifier et hiérarchiser les zones à irriguer tenant compte des considérations liées au changement climatique, et à dimensionner le système de façon à satisfaire la demande de pointe durant les mois d'été envisagés sur la base des scénarios de l'évolution du climat. (3 millions de dollars)</p>
	<p>Composante n°2 : Appui technique aux propriétaires de petites et moyennes exploitations agricoles grâce aux mécanismes de marché. (2 millions de dollars)</p>	→	<p>Appui technique aux agriculteurs en matière de changement climatique, qui inclut la sensibilisation, l'élaboration de stratégies de renforcement de la capacité d'adaptation à la modification du climat telles que la diversification des sources de revenu, l'assurance sécheresse et les systèmes d'utilisation des eaux. (0,7 million de dollars)</p>
	<p>Composante n°3 : Appui au développement des institutions et au renforcement des capacités de l'unité de gestion du projet, de l'organisme de régulation et du Conseil des usagers de l'eau (6 millions de dollars)</p>	→	<p>Appui au développement des institutions et au renforcement des capacités de l'unité de gestion du projet, de l'organisme de régulation et du Conseil des usagers, <i>spécifiquement axé sur l'adaptation au changement climatique</i> (1 million de dollars)</p>
COÛT	Coût du scénario de développement normal		Coût additionnel de l'adaptation
FINANCÉ PAR :	BMD, pays donateur, ministère de Ressources en eau et de l'Irrigation		Fonds pour les PMA

« COFINANCEMENT »

« RENSEIGNEMENTS RELATIFS AU PROJET POUR LA FIP »

« FINANCEMENTS DU FONDS POUR LES PMA »



Example of co-financing

Country: TOGO

Project title: Strengthening Climate Resilience of Infrastructure in Coastal areas in Togo

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
CCA-1 (select)	LDCF	7,600,000	77,650,100
CCA-1 (select)	LDCF	850,000	17,019,200
CCA-2 (select)	LDCF	482,420	11,700,700
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
Total Project Cost		8,932,420	106,370,000

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

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
GEF Agency	African Development Bank	Hard Loan	27,220,000
GEF Agency	African Development Bank	Grant	79,150,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Cofinancing			106,370,000



References

1. GEF, 2011. Accessing resources under the LDCF. Available at <http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf>; and available in French at: <http://www.thegef.org/gef/sites/thegef.org/files/publication/LDCF%20FRench.pdf>
2. UNFCCC, 2009. Step-by-Step guide for the implementation of national adaptation programmes of action;



Module 3: Accessing financial resources

3.5. Latest developments on the GEF-LDCF procedures

LEG training workshops for 2012-2013
- Francophone LDCs workshop



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Module 2: Implementation strategies for the NAPA

Module 3: Accessing financial resources for implementation of NAPA

3.1. Introduction to the GEF and the LDCF

3.2. Formulating funding proposals

3.3. PIF, PPG, and CEO endorsement processes

3.4. Adaptation cost and co-financing

3.5. Latest development on the GEF-LDCF procedures

3.6 Accessing resources under the AF

Module 4: Best practices and lessons learned

Module 5: Tracking progress, monitoring and evaluation

Module 6: Tracking progress, M&E

Module 7: The NAP process

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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to the GEF and LDCF;
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Guiding questions:

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



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

- le Fonds pour les PMA doit appliquer un principe d'**accès équitable** des pays les moins avancés Parties à un financement pour la mise en œuvre des programmes d'action nationaux aux fins de l'adaptation
- le principe de l'accès équitable s'est traduit par le concept d'accès équilibré:
 - les financements pour la mise en œuvre des PANA seront disponibles pour tous les PMA
 - non accordés par ordre d'arrivée (ce qui risque de favoriser les pays ayant des capacités au détriment des PMA les plus vulnérables)
- le plafond du financement au titre du Fonds pour les PMA s'établit à 20 millions de dollars

Exemple: un PMA qui a déjà accédé aux 12 millions de dollars, peut avoir accès à 8 millions de plus.



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 3: Accessing financial resources

3.6. Accessing resources under the Adaptation Fund

LEG training workshops for 2012-2013
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CASE STUDIES + REGIONAL INPUTS

Learning points:

- Introduction to the Adaptation Fund

Guiding questions:

- How to access resources from the Adaptation Fund for implementing NAPA and/or other adaptation initiatives?



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.
-



Accreditation of implementing entities

Categories:

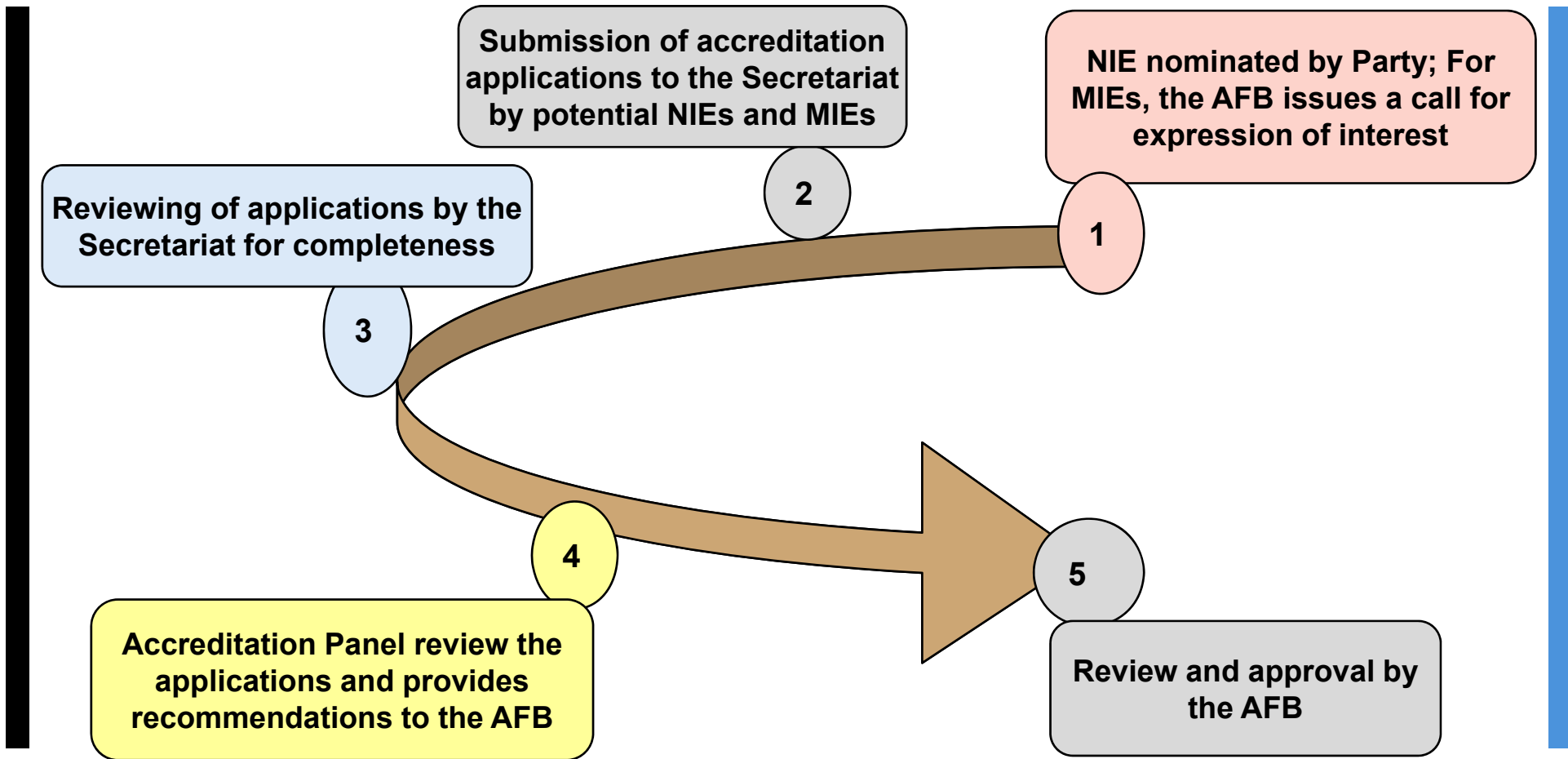
- National implementing entities (NIEs);
- Multilateral implementing entities (MIEs);

Fiduciary Standards:

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



Accreditation process



Capacity development needs for direct access

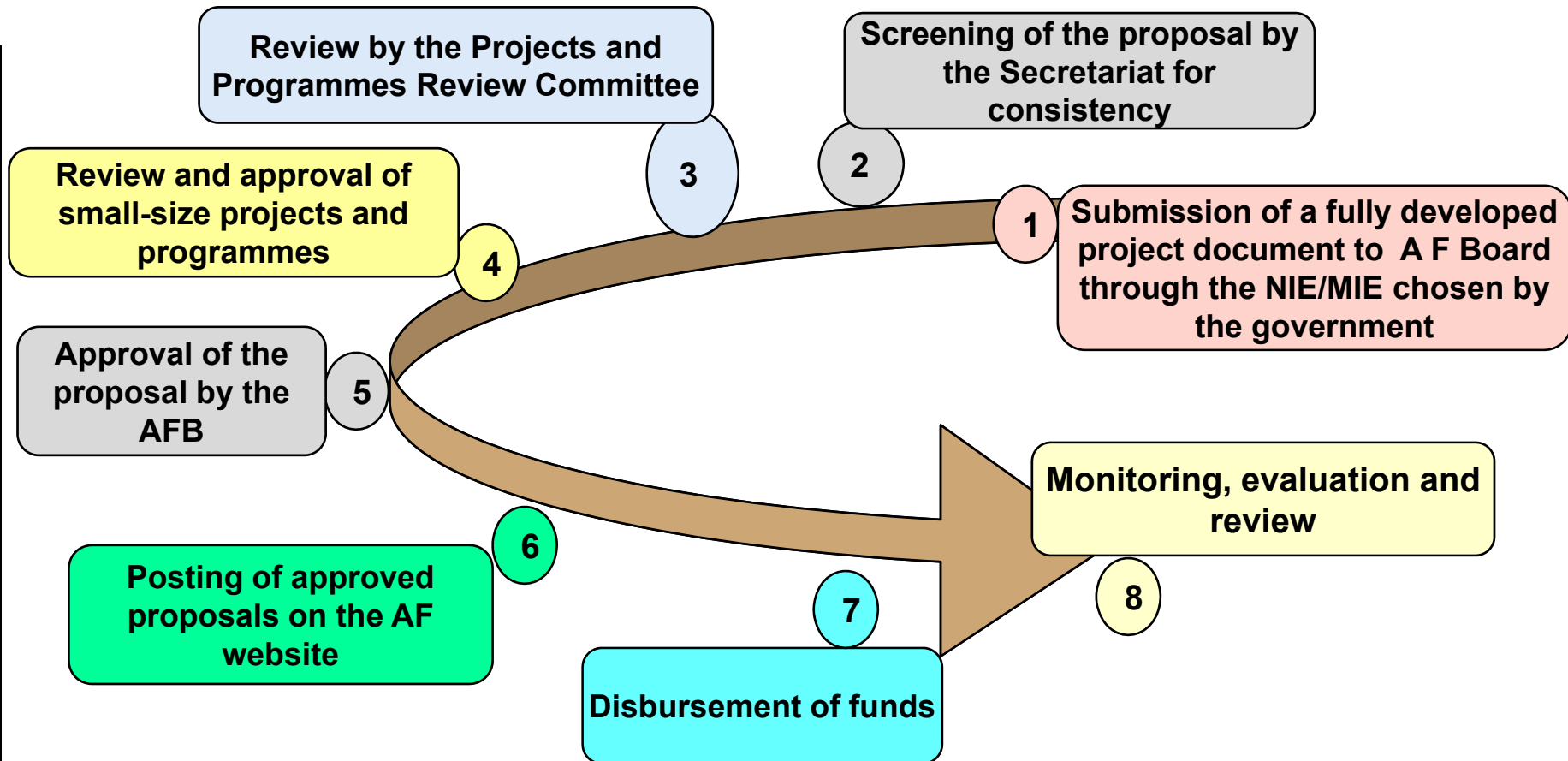
GIZ's experience:¹

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



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*.

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.



Funded projects of LDCS under the Adaptation Fund, as of September 2012

Country	Project title	Approved amount (Million USD)	Implementing entity	Approval date
Cambodia	Enhancing climate resilience of rural communities living in protected areas of Cambodia	4.954	UNEP	June 2012
Djibouti	Developing agro-pastoral shade gardens as an adaptation strategy for poor rural communities in Djibouti	4.659	UNDP	June 2012
Mauritania	Enhancing resilience of communities to the adverse effects of climate change on food security in Mauritania	7.803	WFP	June 2012
Tanzania	Implementation of concrete adaptation measures to reduce vulnerability of livelihood and economy of coastal communities in Tanzania	5.008	UNEP	December 2011
Samoa	Enhancing resilience of Samoa's coastal communities to climate change	8.732	UNDP	December 2011
Madagascar	Promoting climate resilience in the rice sector	5.105	UNEP	December 2011
Eritrea	Climate change adaptation programme in water and agriculture in Anseba region	6.521	UNDP	March 2011
Solomon Islands	Enhancing resilience of communities in Solomon Islands to the adverse effects of climate change in agriculture and food security	5.534	UNDP	March 2011
Senegal	Adaptation to coastal erosion in vulnerable areas	8.619	National implementing entity: Centre de Suivi Ecologique	September 2010

Country experiences

Experiences of Djibouti/ Mauritania/Madagascar.

